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ABSTRACT

This guide reviews resources local officials can use to improve institutional services for children and families, and offers procedural advice. Chapter 1 examines the role of municipal government in providing human services and identifies two roles local government has in delivering these services: broker and administrator. Chapter 2 examines major federal programs that local officials can tap to fund local programs for families and children. Chapter 3 reviews the range of state sources of support for programs affecting children and families. Chapter 4 describes the role of private funding for local programs, demonstrating ways in which city officials can act as brokers with private funders in order to secure resources for funding and improve human services delivery. Chapter 5 describes the municipality as a service provider and its residents as customers. The chapter also reviews ways in which cities and towns can satisfy customers without spending money. Chapter 6 examines ways municipalities can generate funding by reorganizing budgets and generating revenues. Chapter 7 describes the administrative structure needed if city halls are to raise funds for families and children. The chapter includes a section on ways to make and maintain contacts with potential funders and a guide to writing a grant proposal. Appendices provide ideas and resources for specific programs and projects and suggestions for reading and contacts. (RH)

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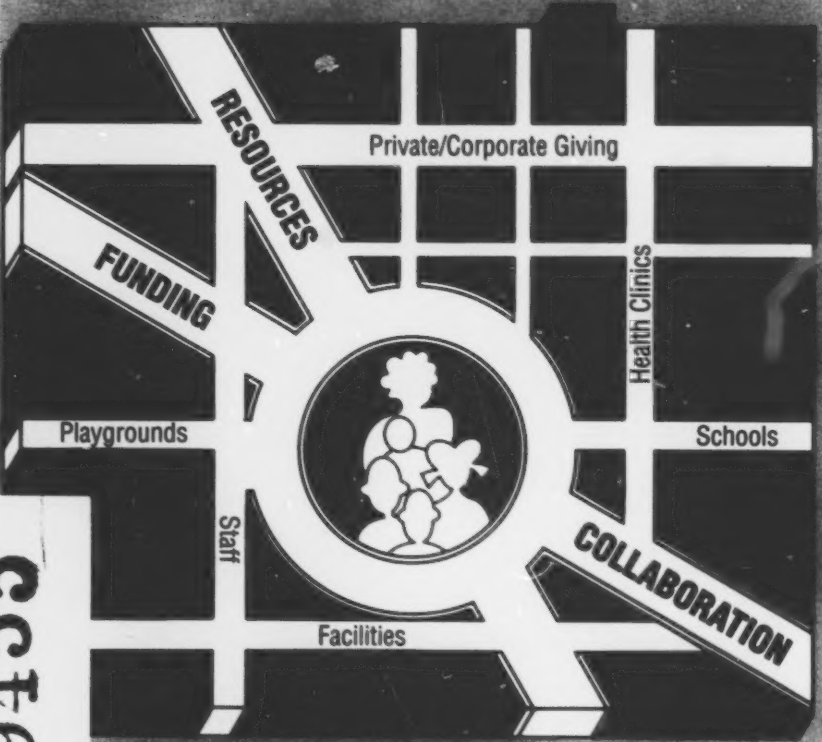
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LOCAL OFFICIALS GUIDE

WAYS AND MEANS FOR CHILDREN AND FAMILIES

Carolyn Grose
and
John E. Kyle
Editors

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CONTENTS

FOREWORD i

PREFACE iii

ABOUT THE AUTHORS v

INTRODUCTION 1

CHAPTER ONE CHALLENGES FACING MUNICIPALITIES 7

The Dual Roles of Municipal Government in Human Services 8

CHAPTER TWO CITY AS BROKER OF FEDERAL ASSISTANCE 11

Types of Federal Programs 12

Community Development Block Grant 13

Stewart B. McKinney Homeless Assistance Act 15

Title I, Chapter I of the Elementary and Secondary Education Act 18

Title XX Social Services Block Grant 18

Job Training Partnership Act 20

Grants for Drug and Alcohol Abuse Prevention and Treatment 21

Earned Income Tax Credit 22

How To Find More Federal Programs 23

What Cities are Doing with Federal Money 26

CHAPTER THREE CITY AS BROKER OF STATE ASSISTANCE 31

Types of State Assistance 32

How To Find More 35

What Cities are Doing with State Money 37

CHAPTER FOUR CITY AS BROKER OF PRIVATE RESOURCES 43
An Overview of Private Resources 44
How to Find More 49
What Cities Are Doing with Private Funding 51
CHAPTER FIVE MUNICIPAL RESOURCES AND CUSTOMER SATISFACTION 59
Code Enforcement 62
Zoning and Master Planning 63
Leadership and Teamwork 67
CHAPTER SIX MUNICIPAL RESOURCES: LOCAL FUNDS 69
Money 70
Facilities 72
Staff 74
What Cities are Doing 75
CHAPTER SEVEN ADMINISTRATION OF THE FUNDRAISING PROCESS 83
Research and Prospect Development 84
Program Development and Grants Writing 89
Administration of the Fundraising Process 94
Administrative Structure 96
CHAPTER EIGHT CONCLUSION 99
APPENDIX A A State-by-State Guide to Funding Directories 101
APPENDIX B Department of Housing and Urban Development 119
APPENDIX C Community Development Block Grant Program 127
APPENDIX D Social Services Block Grant 133
APPENDIX E References and Resources for Grant Writing 141
APPENDIX F Responses to Survey 143
REFERENCES 145

FOREWORD

"We must redirect our focus and think of ways to help our young people in the areas of education, child care, and health....They are our future and our only hope."

Sidney Barthelemy,
Mayor, New Orleans, Louisiana and
President, National League of Cities

Cities and towns across America are paying increased attention to children and families. With this attention, however, comes the desire to do more, which brings with it the need to find the resources – the talent, the ideas, and the funds – with which to carry out new and challenging programs.

The National League of Cities (NLC) is pleased to present *Ways and Means for Children and Families.* This book's detailed attention to "ways and means" should permit more and more cities and towns to develop, expand, and/or modify the programs, policies, and activities that are needed by the children, families, and taxpayers who live in those municipalities.

This new book adds to the repertoire of products, activities, and five other publications that we offer to enable and encourage local government officials in meeting the needs of children and families. (These publications and services are described more fully inside the back cover of this book.)

This array of specific products is part of a broader set of strategic NLC endeavors designed to help local officials.

1. The Children and Families in Cities project, now entering its fifth year, is focusing its efforts in policy analysis, technical assistance, research, and development of community support on the topics of child care, education, and strategic planning.
2. The NLC Task Force on Children and Education is pointing the way in showing how collaboration at the local, state, and national levels is vital to individual cities and towns, to the National League of Cities, and to children and families.

3. With the guidance of the Human Development Steering Committee, revision of NLC's National Municipal Policy was undertaken to reflect increased local government concern about attention to the needs of children and families by all levels of government.

These efforts are adding to NLC's capacity to serve cities and city officials, to work successfully on Capitol Hill, to serve state municipal leagues effectively, to cooperate fully with a broader array of national organizations, and to move into a future where today's children will be leaders.

We congratulate the authors and contributors to *Ways and Means for Children and Families* – especially Carolyn Grose, who served as lead editor and lead author, and John E. Kyle, who coedited the book and developed the overall concept. John's role as director of the Children and Families in Cities Porject and as staff to the Task Force on Children and Education is critical to the development of individual products and to the design of the overall strategy to assist local officials. We also congratulate William Barnes, NLC's Research Director, under whose supervision all this activity occurs.

We are grateful to Carnegie Corporation of New York and to the Lilly Endowment, which provided grants to the ongoing work of our Project on Children and Families in Cities, of which this book is one part.

This book and the related efforts described above reflect NLC's commitment to ongoing work on behalf of municipal officials. Because of this commitment, we invite comments and discussion about the ideas expressed in this book and about the strategies we are using.

Donald J. Borut
Executive Director
National League of Cities

William E. Davis, III
Director, Office of Policy
Analysis and Development

PREFACE

One of the dominant themes of *Ways and Means for Children and Families* is that of the city or town as a broker. Fittingly enough, I, as an author and editor of this guidebook, feel also like a broker – a coordinator of various resources and perspectives. Producing this guidebook has been an exercise in coordination and cooperation; so, to start, I would like to thank everyone who has contributed time, material, and advice to this project.

Working with the core team of individuals who assisted me was a pleasure. I gained from the experience in personal and professional ways, and the book gained.

Specifically, the contributing authors – Bill Carey, Barbara Thornton, and Michael C. Ward – added different perspectives and expertise, making the final product that much richer and more relevant to local officials. John E. Kyle, director of NLC's project on Children and Families in Cities, contributed vital leadership and information, discovered potentially fatal inconsistencies, and helped overall to produce a more readable and lively document.

My thanks also go to the Coalition on Human Needs: Maybelle Taylor Bennett, the Director of Research, whose perspective as a District of Columbia Zoning Commissioner and specialist on federal programs affecting the urban poor added significant depth and information to the guidebook; and Susan Rees, the Executive Director, whose guidance and advice from the book's early conceptual stages to its final editing were invaluable. Moreover, the resources and contacts available to me through the Coalition enabled me to undertake a much more comprehensive analysis, particularly of federal funding programs, than I could have accomplished on my own.

Douglas Peterson, NLC's expert on fiscal matters, and William Barnes, NLC's Research Director, provided helpful insights and inspiration. Other NLC staff – Julio Barreto, Janet Cowan, Vidella H. Hayes, Peter Kinberg, Bryson McCulloch, and Marvin McGraw – also provided welcome assistance.

Helpful critiques of the manuscript were provided by Sid Gardner, a consultant to California Tomorrow and a former city council member in

Hartford, Connecticut, and by Callie Struggs, the Assistant City Manger for Human Services in Pasadena, California.

In addition, thanks are given to Clint Page, who edited and produced this book.

Finally, I appreciate the help I have received from government officials on all levels – federal, state, county, and municipal. Without their stories--of both successes and failures – this book would not have been written.

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ABOUT THE AUTHORS

Carolyn Grose is a Program Associate at the Washington, D.C.-based Coalition on Human Needs, where she works predominantly on federal budget and tax issues as they impact the lives of low- and moderate-income people. Before joining the Coalition in October, 1989, she worked as an Editorial Assistant, first for *Governing Magazine* and then for *Congressional Quarterly's Weekly Report*. Her involvement with the local Metro D.C. Coalition for Choice over the past two years has contributed to her overall interest in problems affecting low-income families and children in cities. She graduated with a bachelor's degree in History and French from Middlebury College in 1988.

John E. Kyle has been the director of NLC's Project on Children and Families in Cities since 1987. He has developed and implemented project activities and publications such as *Children, Families & Cities: Programs that Work at the Local Level*. He is an advocate and administrator with twenty years experience in state and local programs and policies concerning children, youth, and families. In Maryland, as Director of the Office for Children and Youth for former governor Harry R. Hughes, he led the development and passage of major gubernatorial initiatives and edited *Building for the Future: The Status of Children and Children's Programs in Maryland*. In Michigan, he was a Policy Associate for the High/Scope Educational Research Foundation, where he helped develop and implement the Voices for Children project. In Pennsylvania, he was the Project Director of the Turtle Creek Valley Day Care Project.

Barbara Thornton is a principal in the training and consulting firm of Alex and Thornton Associates in Arlington, Massachusetts. She does workshops on organization development and strategic planning for municipal government and human services officials. She has more than twenty years of professional experience working with public sector, private sector, and neighborhood organizations on problem solving and organizational change issues. She has experiences in the United States as well as in Asia and South America. Her credentials include a Master's in City Planning from Yale University and extensive additional training in organizational development, service management, and group facilitation. Much of her knowledge of and appreciation for municipal government comes from being raised as the daughter of a city manager in southern California. Her knowledge of human services stems from serving as Director of Planning for a state human services agency, working with nonprofit vendors, and being a mother.

Michael C. Ward is the development officer for the City of Tupelo, Mississippi. He served as project coordinator for the city's 1988 Ford Foundation Innovations in State and Local Government Award and 1989 All-America City Award. In the course of his career, he has written grants that have raised more than $2.5 million for local development projects in Tupelo and more than $25 million in funds for other municipalities and nonprofit development organizations. He is currently a candidate for a Master's in Public Administration at Harvard University's Kennedy School of Government.

Bill Carey is a master's degree candidate at The American University, majoring in journalism and public affairs. He is a 1982 graduate of Syracuse University and has worked as a reporter and sports writer in New York and Massachusetts. His most recent assignment was with *The Berkshire Eagle* of Pittsfield, Massachusetts. Carey is a research assistant with the National League of Cities' Project on Children and Families in Cities.

INTRODUCTION

By Carolyn Grose and Michael C. Ward

> "The buck stops at local government. A desperate family with a malnourished child, an old woman dying of hypothermia, a mother and her four children without shelter, do not call some faceless bureaucrat at HHS in Washington. They call 911."
>
> Carol Bellamy, Former President, New York City Council[1]

It is no secret that children and families are fighting for survival in many of our nation's cities and town. All children need good and affordable child care, clean and safe recreation facilities, and access to cultural, educational, and social opportunities that will nurture them into becoming the leaders of the next generation.

Instead, many of our children still do not complete school, and others that do are ill-prepared to fill the challenging jobs of the 1990s. Many of our children and families are homeless, needing services far beyond those that are available. Infant mortality rates and other health indicators in some of our cities now lag behind those of third world countries. Children are attempting to learn in educational systems where the primary concerns of teachers and obstacles to learning are drug abuse, violence, and teen pregnancy.

Historically, city hall's role in addressing problems affecting children and families has been fairly simple and straightforward. In some states, cities and towns levied and collected taxes and other revenues to support the public school system, but with the exception of appointing the board of education, took little direct role in the operation or further funding of educational programs.

Cities routinely provided recreational facilities, in terms of parks, open spaces, playing fields or swimming pools, but the quality and quantity of programs and activities varied widely, depending upon the size of city and amount of revenues available. Other social services, including child care, health services, and assistance to the indigent, have generally been provided by federal, state, and county governments and by local nonprofit agencies.

The role of local government in coordinating and providing services for children and families is gradually shifting, with cities assuming an increasingly central role. One reason for this emerging role of cities is the decreasing federal investment in cities and towns, and the resulting burden on local government to provide programs and funding to serve the needs of children and families.

Another reason, however, is the fact that cities are becoming increasingly aware of the role that "quality of life" issues play in building and sustaining economic development. The public's mood now requires local governments to become involved in human services. As cities work to improve their tax bases and encourage community and economic development, they hear demands not for tax incentives, land, and physical infrastructure, but for good schools, comprehensive social and recreational programs, and related amenities.

Many city and town governments are trying to satisfy those demands, but they are all coming up against the same barrier: money.

> "Overwhelmingly, and not surprisingly, the greatest barrier to increased city hall involvement in family and children's issues is lack of funds. In the real world of resource scarcity, the needs of young children compete with the needs of older youth for a place on the national and community agenda. Issues that affect middle-income families with children may be set against those most germane to poor families. The needs of single-parent households may, appropriately or not, compete with the needs of two parent families for funds, attention, or both. The needs of all children, youth, and families must also compete with other needs for federal, state, and local attention and resources."[2]

Local officials want to be involved in addressing the needs of families and children in their cities and towns, but they are having trouble tapping into sufficient resources. To find out more about the resources available to and/or used by cities and towns, NLC's Project on Children And Families in Cities sent out a survey in August 1990 to forty-nine state leagues, more than thirty state-based child advocacy groups, and 161 selected municipal governments. The responses revealed the following directives to the National League of Cities:

- Provide a list of contacts, identification of good programs in other states and municipalities. (New Haven, Connecticut)
- Provide information on the resources for families and children that are available to cities and counties outside the Departments of Health and Human Service, Housing and Urban Development and Education. (Lincoln, Nebraska)
- Help notify cities of projects going on in other cities for greater information exchange; help find private and public funding sources to develop and implement initiatives. (New Orleans, Louisiana)

- Provide training in the area of where funds are available and what they are being used for; encourage and promote interagency cooperation. (Denver, Colorado)

Clearly, local government officials want to know how to secure the resources required to provide quality services and programs. They are frustrated by a real lack of funds on the local level, and by a lack of commitment from other levels of government to address these problems. Says the Pennsylvania Economy League's Diane Reed, "Local governments simply can't afford to address these broad social problems adequately–higher levels of government need to do so."[3]

But it is up to these cities; they can't expel their poor people. Faced with what Philadelphia officials see as an indifferent state government, the city government has had to pay for children's programs with its own money, causing the city to place an enormous tax burden on low- and moderate-income families, and to lose economic vitality and the ability to compete.[4]

The reality, however, is not as dire as it seems. Despite decreases in federal funding, many federal programs are still available that directly or indirectly provide resources for programs serving children and families at the local level. Many states are increasing their commitment to such efforts, with some funding and resources flowing to local governments.

Corporations and private foundations, including community foundations, continue to invest heavily in local communities. Non-profit and other local associations are also playing active roles in working with local governments to improve conditions and provide services to children and families.

And there are ways for local governments to organize their spending, revenue, and administrative processes to make more money available for programs for families and children.

A central issue facing local governments is locating and bringing such resources to bear to improve educational, recreational, child care, and other institutional services for children and families at the local level. It is important to keep in mind, however, that locating the funds is a prerequisite, but it is only a first step toward making programs successful for families and children. This guide for local officials will review some of those resources, and present some guidelines for the steps to take next.

Chapter One examines the role of municipal government in providing human services and identifies two simultaneous roles local government has in delivering these services: that of broker or coordinator of funds and that of direct provider or administrator.

Chapters Two, Three, and Four describe the areas in which municipal governments can act as brokers. Chapter Two examines major federal programs that local officials can tap to fund local programs for families and children. It provides further contact information, both national and regional, for gathering more information on specific programs or application guidelines. It also cites several case studies, or examples, of what cities are doing with federal money to fund programs for families and children.

Chapter Three reviews the range of state sources of support for programs affecting children and families. It begins with an overview of the kinds of policies, regulations, and departments that affect how local officials can provide services to families and children. It goes on to provide means of finding more information on both the national and state level, and ends with descriptions of how cities of all sizes are using state resources.

Chapter Four describes the role of private funding for local programs. By examining the activities and policies of corporate foundations, community foundations, nonprofit groups, and individual donors, this chapter demonstrates how city officials can act as brokers with private funders to secure resources for local human service programs. This chapter, too, includes contact information and case studies.

Chapters Five and Six focus on ways municipalities can use their own internal resources to access funding and improve human services delivery. Chapter Five describes the municipality as a service provider and its residents as customers. The goal of municipal policies, therefore, must be to satisfy customers. One way to do this is to provide efficient, reliable, and comprehensive human services. This chapter reviews ways in which cities and towns can achieve customer satisifaction without spending money—that is, through regulations and solid leadership.

Chapter Six continues the customer service metaphor to examine ways municipalities can focus on their own internal operations to generate funding by reorganizing current budgets and generating new revenues. Several actual city activites are described as examples.

Chapter Seven is the "how to" chapter. It describes the actual administrative structure needed in city hall to access and raise funds for families and children. It includes a section on how to make and maintain personal contacts with potential funders and a step-by-step guide to writing a grant proposal.

The appendices provide additional ideas and resources for specific programs and projects, as well as suggestions for relevant general reading and contacts.

While this is by no means exhaustive—it merely scratches the surface of what is out there—its goal is to give you, the local public official, a sense of the resources that already exist and ideas for strategies that will increase the resources being applied to problems and issues affecting children and families in your community.

We hope you can use this book for your own municipality both to review the policies and programs you already use and to help you brainstorm new ones. Remember, this is only a starting point. It is up to you to take the ideas and suggestions presented here and try them out on your own human services delivery system.

NOTES

1. Carol Bellamy, Address at Annual Conference of the Federation of Community Planning, Cleveland, Ohio, March 5, 1985.
2. Catherine E. Born, *Our Future and Our Only Hope: A Survey of City Halls Regarding Children and Families,* National League of Cities, p. 2. Washington, D.C., 1989.
3. "Is Philadelphia a Frightening 1990s Omen for Cities?" *Nations' Cities Weekly,* Volume 13, Number 37; Washington, D.C. September 17, 1990; p. 8.
4. *Ibid,* p. 8.

CHAPTER ONE

CHALLENGES FACING MUNICIPALITIES

By Barbara Thornton

"It was the best of times. It was the worst of times."

Charles Dickens' words ring true for cities in the 1990s. Many cities are struggling to move from their old, tradition bound institutions and discover new roles and partnerships that respond to the needs of their citizens.

At the same time many cities large and small are reaching their fiscal limits. The Reagan era block grant consolidations and social services cuts reduced revenues. Family and neighborhood life are under growing stress thanks to increased drug use and economic conditions that require two wage earners per household or multiple jobs per wage earner to maintain a stable standard of living. More demands than ever are being made on municipal services ranging from police to recreation to libraries.

State and federally mandated education programs are coupled with society's expectation that many social problems involving children and families will be addressed through schools. As a result, the cost of operating school systems has increased. Other state and federal mandates have increased the cost of other local government operations.

All of these pressures to increase costs fall on an institution that pays its bills primarily by annually charging property owners a percentage of the value of their property. If property values increased as fast as health insurance costs and fees to dispose of waste, municipalities would be in great shape. But property values do not increase that fast. And when they do increase, there is no guarantee that the income of the property owners has increased enough to pay the property tax. Taxes go up. Property owners do not see an increase in services, just an increase in bills. This is the stuff tax revolts are made of.

Higher costs, higher taxes, no change in services, little money for new services. What's a municipality to do? The answer: a lot.

The Dual Roles of Municipal Government in Human Services

Although finances are tight, municipal government is better suited to respond to many of the issues and problems facing contemporary American society than any other level of government. Municipal governments across the country are undergoing a renaissance as they restructure their charters, reorganize their departments, revitalize their boards and commissions, and renew their original mission: to protect the health and well-being of their residents.

In the United States, municipal government has always seen the preservation of public health and public safety as its mission, its very reason for being. Traditional municipal departments such as fire, police, public works, inspections, parks and recreation, and public health were started to carry out this mission.

But somewhere during the last seventy-five to one hundred years of U.S. municipal history, the functions of these departments got stuck in a rut and did not keep evolving to meet the residents' current needs. The public is as much at fault as the municipal managers. The public's expectations of municipal government did not evolve much beyond what they saw being provided before World War II. The dichotomy between what the public thinks municipal departments provide and what they actually do or can provide, particularly in human services, is startling.

It is a rare police department that doesn't spend at least 50 percent of its time on "family trouble" calls or some kind of emergency intervention for social problems. Dispatchers are available 24 hours a day to provide basic services like getting the keys out of a locked car for an elderly woman, counseling a high school class on substance abuse, taking a homeless person to a shelter, or responding to a neighbor's call about a battered child.

Every child carries a dramatic image of the firefighter putting out a fire and saving a family. Nowadays firefighters spend a surprising amount of time – often more than 50 percent – saving families. More and more firefighters are trained as Emergency Medical Technicians, capable of resuscitating a drowning child, reviving a heart attack victim, or providing emergency medical care to people in car accidents.

Municipal governments got involved in parks and recreation when society decided that open space and nature were good for our health. The parks department maintained the public "natural" open space and then began to program some activities. Now society has discovered that social isolation and unsupervised children are not healthy for the community. Recreation departments plan programs to bring families together, get lonely elderly persons into social activities, and entertain children between the time school releases them and the time their working parents are available to care for them.

Municipalities have two routes toward improving human services delivery: they can act as a broker and focus on creating a climate in the community which fosters good human services delivery, and they can focus on their own internal operations.

In both these roles, municipalities have the power to initiate coordination on three axes: vertically, horizontally, and internally. Vertical coordination refers to the relationships the municipality develops with county, state, and federal levels of government. Horizontal coordination includes the relationships with contiguous municipalities and larger, regional authorities and special districts. Internal coordination includes the relationships developed among municipal departments, between the municipality and the school system, or among the municipality and other quasi-government authorities and/or nonprofit agencies serving the community.

City As Broker

If municipal officials can use their leadership skills and governmental powers to orchestrate a common vision of the region's human services problems, they can call on the combined governmental resources to address solutions.

The little Massachusetts town of Mashpee on Cape Cod (population 7,112), for example, looked at all the money state human services agencies were spending, per capita, for their citizens, and did not see much impact. The town decided to reorganize some of its own departments, pulling the Recreation and Community Schools Departments into one combined department. The town hoped that one larger human services oriented department would be more likely to get the attention of and have some influence with the ten or twelve state human services agencies that had money to spend on local human services.

This is just one way municipal government can coordinate other governmental resources to improve local services for its citizens. We will examine in Chapters Two and Three other ways cities can work with federal and state governments to get money for local human services.

Local governments can also act as brokers in establishing public-private partnerships. The nation's business leaders are keenly feeling the need for a variety of better human services to support stronger families, healthier children, a better educated workforce, and safer communities. The more farsighted business leaders at the community level, as well as at the national level, are joining in partnerships with local governments to address these needs.

In Seattle, Washington (population 493,846), for example, the city's Human Services Strategic Planning Office has created a forum and provided the staff support for business, government, and community leaders to set the agenda to address the city's most pressing human services needs. More recently, Mayor Norman Rice convened the Seattle Education Summit to bring a community-wide perspective, and community-wide involvement, to the question of the schooling and learning needs of the city's children. Chapter Four will explore these kinds of partnerships in greater detail.

The City's Internal Resources

Municipal government officials often feel as if they are under siege from the pressing demands of human services advocates representing special populations in need of services, provider agencies balancing on the edge of bankruptcy, and taxpayers demanding accountability for every governmental expenditure.

As we will see, however, municipal officials do have a number of resources at their disposal. Taking full advantage of some of those resources will require making the support of a human services delivery system an integral part of the overall operations of local government.

The goal of strengthening the human services delivery system complements the purpose of municipal government – the protection of the health and well-being of the population. In addition to working with other branches of government and the private sector, the powers and authorities of municipal government itself can reinforce this goal. The municipality's internal resources – its revenues, facilities, and staff – can make major contributions to strengthening the community's human services system.

We will see in the final chapters of this guide that all these resources are available to virtually every municipality in the country. With a commitment to reorganize and refocus around human service delivery, municipal governments can play a major role in building a better, stronger community-based human services system.

CHAPTER TWO

CITY AS BROKER OF FEDERAL ASSISTANCE

By Carolyn Grose

"We do a good job with what we have. I wish Washington would help." (Birmingham, Alabama)[1]

The 1980s were hard years for the fiscal well-being of American cities and towns. The Reagan administration began the decade with a fierce commitment to reduce federal involvement in the lives of the American people. As a result, there was massive reduction and reorganization in spending on domestic programs. In the 1981 Omnibus Budget Reconciliation Act (OBRA) alone, fifty-seven programs affecting cities were consolidated into nine block grants.

"Reagan emphasized the city as an economic enterprise, which meant that 'cities should compete with one another for economic growth as vigorously as do private firms.'...Urban programs were hardest hit in the recommendations to reduce authorization and funding levels across the board, particularly those programs aimed at the most needy places."[2]

It had not always been that way. The 1960s were characterized by cooperative partnerships between federal, state, and local governments. There was growing federal involvement in local programs and concerns, involvement that was measured not only by the dollars spent by the federal government, but by the new programs that sprang up. The Head Start program, for example, which extended preschool opportunities to children from poor families, began in 1965.[3]

In the 1970s, federal aid and state spending began to outpace local spending. However, the Nixon administration had begun the process of restructuring the federal grant system. By replacing the single purpose categorical aid programs with block grants, the administration was able to transfer authority from the federal government to states and localities.[4]

In the 1980s, federal aid declined in real, inflation-adjusted terms. As we saw earlier, Reagan aimed to reduce the national government's role in domestic affairs and to enhance state authority. Unlike the block grant programs authorized under Nixon and Ford, the new block grants provided money to states rather than localities, thereby, in many cases, severing federal-local fiscal ties.[5]

This drastic shift in federal-local relations has obviously put a strain on local officials. While cities have had to put up with various federal mandates in the past, they have also had the funds from Washington to assist in meeting those mandates. In the 1980s, the cities experienced a massive increase in responsibility without the corresponding increase in funds.[7] According to the National League of Cities' annual review of city fiscal conditions, city officials would like to see a reduction in, or an end to, mandates altogether:

> "While the federal government has reduced its financial contribution to cities over the past decade, its involvement in city affairs through laws, regulations, and court rulings continues to grow. When the municipal budget officials were asked to provide the most constructive action that could be taken by the federal government, apart from the provision of increased funding, they put reducing federal mandates at the top of the list."[8]

Types of Federal Programs

Federal funding for programs for children and families takes a variety of forms. This chapter will identify some of the major funding sources. It will also discuss methods of monitoring and accessing such funds. Some case studies on the successful application of federal funds to children and families programs are also presented.

According to the National League of Cities' *Our Future and Our Only Hope*, city officials have identified the most pressing needs of children as child care, substance abuse prevention, and education. For families, the most pressing needs are housing, child care, family support, substance abuse prevention, and education.

These responses suggest, or begin to suggest, the federal programs that should be included in a guide to the ways and means for local officials to address such needs. Based on responses to the surveys we sent out in August 1990, we found that cities that already use federal funds tend to work through several programs.

Community Development Block Grant and McKinney Act funds can be used to meet housing and family support needs. Elementary and Secondary Education Act programs and the Job Training Partnership Act help local officials fund education and training projects. The Job Training Partnership Act and the Social Services Block Grant can also be used extensively to meet child care needs on the local level. And the Department of Health and Human Services' Office for Treatment Improvement and Office for Substance Abuse Prevention offer local officials a range of grants to be used for substance abuse prevention and treatment programs.

There are of course other federal funds, and a resource section later in the chapter will provide information on how to find every federal program cities have access to.

Funding for Administration

Be aware that despite the fact that projects, once funded, will require the time and efforts of current staff to administer, not all federal programs provide funds for that administration.

In some instances, such as the CDBG program, funds are available to reimburse the city for costs incurred in administering the program, and you should requested those funds in the application. For other programs, you should request sufficient funds to adequately staff any programmatic efforts requested. The use of federal funds to supplement or fund general staff expenses is often forbidden. Be sure to find out how the program you are applying for handles staff and administrative expenses.

Community Development Block Grant

Don Patch, Director of the federal Office of Block Grant Assistance, describes the Community Development Block Grant (CDBG) as "the one freebie left" to which all major metropolitan areas with populations over 50,000 are entitled "unless they screw up."

CDBGs are formula grants to localities for activities intended to result in decent housing in suitable living environments, and/or community economic development, and/or improved community facilities and services. The CDBG program as a whole is designed primarily to benefit low- and moderate-income people.

Each individual project must meet one of three national criteria:

- Benefit low- and moderate-income people
- Aid in the prevention and elimination of slums
- Eliminate urgent existing conditions that threaten the health and welfare of a community.

For cities and towns with populations under 50,000 that are not central cities within metropolitan areas, there is also the Small Cities CDBG program (SCCDBG). In fiscal 1989, state governments received about $880 million to distribute to local communities through the Small Cities CDBG program, or 30 percent of the total CDBG money available. For these SCCDBG programs, the average amount granted to cities is between $250,000 and $450,000.

Written into the CDBG regulations is a provision that allows grantees to spend up to 15 percent on social services. Although some responses to the National League of Cities 1990 resources survey suggested lobbying Congress to raise the limit from 15 percent to 25 percent, it appears that very few city officials know this provision exists, especially among smaller cities.

According to Patch, use of the money for social services, especially among large cities, has been steadily on the rise for the past four years. Huntington Beach, California (population 170,505), is one such city. The coordinator of the city's Project Self-Sufficiency suggests that cities "consider CDBG Public Service funds to staff a city position to coordinate services for families."

On the other hand, less than 1 percent of CDBG money granted to state governments to award to small cities through the SCCDBG program is used for social services. Small cities and towns generally use CDBG money for non-human services purposes, such as infrastructure.

Attempts have been made in the House of Representatives and the Senate to raise the amount available for social service projects from 15 to 25 percent. Nothing has really come of these for the CDBG program itself. However, as of October, 1990, there was a section in the federal Housing Authorization Act that removed the cap altogether from the SCCDBG. This provision effectively allows state governments to grant 100 percent of their SCCDBG funds to cities for social service projects.

How do cities use CDBG money? In fiscal 1990, the money was used as follows:

- 35 percent for housing and redevelopment projects
- 25 percent for infrastructure
- 10 percent for social services, such as child care
- 15 percent for economic development
- 15 percent for administration: citizen participation, office administration, etc.

The application process is as follows: in late December or early January, the Department of Housing and Urban Development (HUD) issues a report announcing how much funding will be available for the coming year. From January to December, cities send proposals to the regional HUD field offices (see Appendix B) with suggested use of funds. The range of grant amounts is $165 million (New York City) to $200,000.

Cities are strongly discouraged from contacting the national HUD office about CDBG. The regional HUD office should have the information local officials need. Moreover, HUD offices, especially at the federal level, but also at the regional level, will not get involved in determining who gets what money for what project. It is up to communities themselves to convince their local government to apply for CDBG funds to be spent on their particular program. There are a lot of competing demands locally, especially between what Don Patch called "services and hardware."

The program design for the SCCDBG programs rests with the state. Each state determines how funds are allocated to communities and the criteria for funding projects, so local governments need to apply through the state CDBG contact (see Appendix C). The majority of states award funds on a competitive basis to local communities that have submitted proposals that meet federal and state program guidelines. Ohio and Pennsylvania are the only two states that allocate on a formula basis.

Most state CDBG programs provide some technical assistance to grantees. Workshops and seminars can be held to familiarize local officials with program requirements and regulations. Easy-to-use manuals and workbooks can be designed to lead officials through the application process. Illinois and Vermont are two states that have taken steps to improve the capacity of their communities to administer CDBG funds.

Stewart B. McKinney Homeless Assistance Act

The McKinney Act requires a set-aside of no less than $20 million for homeless families with children. Cities have access to funds through several programs within the McKinney Act.

Transitional Housing Demonstration Program

Administered by the Department of Housing and Urban Development (HUD), this section of the McKinney Act is designed to develop innovative approaches for providing supportive housing to, among others, homeless families with children. The program provides assistance through advances to buy and rehabilitate transitional housing. Noninterest bearing advances can be made to a state, city, or urban county.

In fiscal 1990, five cities were among the 143 programs that received Transitional Housing Demonstration money: Urbana, Illinois; Raleigh, North Carolina; and Amarillo, El Paso, and San Antonio, Texas.

The grant range is:

- for acquisition/rehabilitation, $200,000 or 50 percent of project costs, whichever is less;
- for operating costs, up to 50 percent.

The application process is as follows: each year, depending on when HUD receives its appropriations, a notice appears in the Federal Register announcing how much Transitional Housing money is available, what the eligibility requirements are, and when and how to apply. Eligible entities are encouraged to send in their applications as soon as possible after the notice appears. Grants are awarded on a competitive basis, based on a complex rating system, until the money runs out.

Once again, cities are encouraged to contact their local HUD offices to find out when the application information will be available. In fiscal 1990, the information was available in late February, early March.

When asked if she had any tips for cities, Jeanne Andersen of the HUD Office of Special Needs Assistance Program says simply: "follow instructions."

Emergency Shelter Grants Program (ESGP)

This section of McKinney is also administered by HUD. ESGP provides assistance to local shelters for the homeless for practically any expense except staff salaries and facilities acquisition. Funds can be used for most operational and maintenance expenses; essential services to clients such as food, clothing and medicine; and improvements to the shelter facilities themselves. Recent changes in regulations also allow funds to be used for "prevention activities," which may include assistance to clients such as emergency rent and utility payments to prevent homelessness.

The definition of "homeless" is very broad, and funding has been secured through ESGP for domestic violence shelters as well as for both long-term and short-term shelters for juveniles. There are some restrictions on assistance for the improvement of facilities owned by religious organizations.

ESGP is an entitlement program based on the CDBG formula. Technically, the funds are supposed to be distributed to all 870 major metropolitan areas that receive CDBG funds, based on the same distribution formula. But because the ESGP is a smaller program, many of those cities would end up with less than .01 percent of the total fund and are therefore disqualified. Last year, 322 eligible cities were invited to apply for funds. Eligible cities that do apply for the program receive funds; there is no competition. The grant amounts for eligible cities in fiscal 1990 ranged from $37,000 in Medford, Massachusetts, to $4,346,000 in New York City.

All fifty states are also entitled to receive funds, based on the CDBG formula, that they must distribute to local governments which are not among the eligible cities, or to non-profit organizations. The major portion of the money – about 75 percent – goes to units of local government. Grant amounts from HUD to the states in fiscal 1990 ranged from $37,000 (Delaware) to $2,129,000 (California).

As is the case with the Small Cities CDBG, local governments that are not eligible on their own must apply to the states for ESGP funds. Each state can distribute the money as it wishes, and states usually award the money on a competitive basis. Cities should contact their regional HUD office (see Appendix B) or the state agency that administers ESGP funds for more information.

The application process is as follows: eligible cities and all states are notified by letter early each year announcing the entitlement amount, application deadline, and process. These grantees have forty-five days to return the applications – usually until the end of February. Grants go out in mid-March, whereupon the states have sixty-five days to distribute the money. Grants are actually accessible in late March or early April. A directory of ESGP programs is available from: Council of State Community Affairs Agencies, 444 North Capitol St., Suite 251, Washington, D.C. 20001; (202) 393-6435.

Emergency Food and Shelter Program

This section of McKinney is administered by the Federal Emergency Management Agency (FEMA). The program provides funding for rehabilitation and renovation, emergency repairs, rental assistance, and operating costs for low income housing; it also provides assistance for utility costs to families and food purchase.

A National Board of Emergency Food and Shelter allocates the money to counties and major metropolitan areas based on poverty and unemployment. Eligible units have a local board that actually allocates the funds to agencies, both public and private. These boards are encouraged to award funds on the basis of needs, rather than using formulas to determine the allocation.

Some 9,500 different programs are funded by Emergency Food and Shelter, from tiny food pantries in the corners of church basements to large metropolitan shelters. Each local board makes its own decision on the kind of programs to fund – food, shelter, or both. The bulk of the money goes to big ticket items like rent or mortgage assistance, utility assistance, and food pantry upkeep, rather than to a soup kitchen's actual food costs.

The application process is as follows: about ten days after the federal budget resolution is passed, the National Board tells the local boards how much money will be available. They are then required to advertise the availability in the community. There are 2,300 local boards, one in nearly each county. If local governments do not receive funds directly from the National Board, departments of welfare and human services often do from the local boards. Local officials and government agencies should contact their local board to try to secure Emergency Food and Shelter funds.

For more information, or to find out where and who your local board is, contact: Sharon Bailey, Emergency Food and Shelter Program, 601 North Fairfax, Suite 225, Alexandria, VA 22314; (703)683-1166.

Title I, Chapter I of the Elementary and Secondary Education Act

Title I, Chapter I provides formula grants to local school districts for compensatory education for disadvantaged children. The Local Educational Agencies (LEA) grant programs serve educationally disadvantaged children attending public and private schools from preschool through secondary education levels.

The program is administered by the U.S. Department of Education, as well as by the state and local educational agencies. The Department of Education allocates grants at the county level, and the states then suballocate county totals to individual LEAs. Within LEAs, grant funds are allocated to the school attendance area with the greatest relative number or percentage of children from low-income families.

For more information, contact: Tom Fagan, Community Education Programs, U.S. Department of Education, 400 Maryland Ave. SW, Washington, D.C. 20202; (202)404-1682.

Title XX
Social Services Block Grant

Social Service Block Grants (SSBGs) are formula grants provided to states for social service activities that enable beneficiaries to: prevent, reduce, or eliminate dependency; achieve or maintain self-sufficiency; and prevent neglect, abuse, or exploitation of persons. Examples of uses include day care services for children, homemaker and housekeeper services, counseling services, adoption, family planning, and the preparation and delivery of meals.

State agencies receive block grant funds from the Department of Health and Human Services (HHS) based on population and then decide how to allocate the money within the state. There are no federal restrictions on distribution of grants, which range from $93,104 to $288,881,355 (the average is $49,096,906). In fiscal 1990, about 20 percent of those funds were used for child care programs.

The application process is as follows: once a state receives its SSBG money, it has to advertise the availability of funds. Under the old Title XX program, before it became a block grant, states used to hold local hearings about the available money and its potential uses, take out full-page ads in the local papers, and address state legislatures and city councils. Some states still do that, but it is safer for local officials to contact their state SSBG agency (see Appendix D).

Social Service Block Grants: Things To Watch Out For*

Users of Social Services Block Grants find several drawbacks in the program, from the point of view of children and families. The key to countering these drawbacks is to take a direct and active role in influencing how and where the state distributes and awards the funds.

Flexibility in fund distribution

In the absence of specific instructions for distribution of funds, states tend to distribute funds to counties or regions on the basis of population and/or the previous year's social services caseload. Presenting data describing the needs of your city's children and families might persuade the state to take needs into consideration as it distributes SSBG funds.

Targeting helps poorest, hurts working poor

For some programs, especially child care, states have tended to lower income ceilings for eligibility, thus targeting funds toward the poorest. While this is designed to help those with the greatest needs, it places a hardship on many low-income working people who are now priced out of the child care system. Presenting a strong case for the needs of the working poor in your city might persuade the state to make funds available to meet the family needs of low-income working people.

Concentration of funds on child protective services

While the mix of services under Title XX SSBG varies widely from state to state, there does seem to be a heavy concentration of funds on services that protect children. These services include many general social services, such as child care, where a significant number of recipients are also state protective cases. This may be the result of the state's needing to spend money on its own protective cases anyway, and, without pressure from other agencies – local government, for example – the state seeing no reason not to use SSBG funds for its own needs. Presenting a case for the needs of local children might persuade the state agency to direct funds to meet local, not state, needs.

* Susan Rees and Maybelle Taylor Bennett, *Block Grants: Missing the Target, an Overview of Findings*, Coalition on Human Needs, Washington, D.C., 1987.

Job Training Partnership Act

The Job Training Partnership Act (JTPA) provides formula grants for job training and related services to the economically disadvantaged. Beneficiaries are any individuals who are economically or otherwise disadvantaged from an employment perspective. Ten percent of JTPA participants do not have to be low-income persons. They could have other barriers to successful employment – drug or alcohol abuse problems, for example, or a disability. Federal law requires that 40 percent of the funds available be directed toward services to young people.

Besides employment training, a key service funded by JTPA is child care. The funds are also often used to help persons with substance abuse problems.

JTPA funds are allocated to states according to a Department of Labor formula based on unemployment and poverty figures. The formula is expected to change in 1990-1991 to emphasize the presence of economically disadvantaged persons, rather than the location of unemployed persons.

For the most part, money flows through the states, which keep only 22 percent of the funds for statewide activities, such as state education agencies, older worker programs, incentives for good Service Delivery Area (SDA) performance, and administration. The remaining 78 percent is allocated to local SDAs based on the same Labor Department formula. The states have no discretion whatever over these monies.

The application process is as follows: in December and January, the money goes out to the SDAs. The local SDA plans how to use the funds in

Job Training Partnership Act: Things To Watch Out For*

Users of JTPA find that funds often benefit those who can be placed in jobs at the lowest cost, that they often don't serve women and minorities, and that remedial action is often neglected. From the standpoint of children and families, these are serious drawbacks.

The key to countering these drawbacks is taking a more direct and active role in influencing how and where your state SDA distributes and awards the funds. Local officials should participate in an assessment of the skills needs of the participants in the program. By doing so, and by presenting a compelling case for those needs – through collection of data and in-depth analysis – you may be able to convince the SDA to distribute funds based on the clients or potential clients.

* Susan Rees and Maybelle Taylor Bennett, *Block Grants: Missing the Target, an Overview of Findings*, Coalition on Human Needs, Washington, D.C., 1987.

February and March and sends the plans to the governor in March and April. Programs actually begin on July 1.

The SDA acts as the administrative entity for JTPA, whose actual policy making body is the Private Industry Council (PIC). The law requires that local officials be on the PIC, as well as local employment services representatives and state officials.

Local officials who are not members of a PIC play a role in appointing its members and can thus work with each other to create a PIC that is responsive to local needs. Members of the PICs have significant influence in determining where the bulk of JTPA funds (78 percent) go, so they can and should be the targets of lobbying to secure JTPA funds for local projects.

Because of their involvement in the PICs, both as active members and appointers, local officials can play a crucial role in determining the kind of projects each SDA funds. According to Maybelle Taylor Bennett, Research Director for the Washington, D.C.-based Coalition on Human Needs, this is one federal program where "municipalities don't go hat in hand looking for money." Each area awards funds on a different basis, but all cities use some JTPA funds; they are universally available.

For more information, see Appendix B or contact: Hugh Davies, Department of Labor, Employment and Training Administration, 200 Constitution Avenue N-4703, Washington, D.C. 20210; (202)535-0580. The 1990-1991 *JTPA Directory* is available from: National Association of Counties, 440 First St. NW, Washington, D.C. 20001; (202) 393-6226.

Grants for Drug and Alcohol Abuse Prevention and Treatment

In addition to these established programs, there are also a number of specific project grants for drug and alcohol abuse prevention and treatment. These project grants fall under the jurisdiction of the Department of Health and Human Services (HHS), for the most part.

In late October 1990, for example, HHS Secretary Louis W. Sullivan announced that drug abuse treatment improvement awards were to be granted to eight major "target cities," eighty local drug abuse programs serving "critical populations," and nineteen criminal justice drug treatment programs.

The awards are designed to help selected large metropolitan areas improve their city-wide drug treatment systems by making systemic changes in existing treatment programs and in the infrastructure for services. The eight target cities awarded a total of $28.5 million were: Boston, Massachusetts ($4.5 million); Baltimore, Maryland ($4.5 million); Los Angeles, California ($4.1

million); Atlanta, Georgia ($4 million); San Juan, Puerto Rico ($3.8 million); New York, New York ($3.7 million); Albuquerque, New Mexico ($2.5 million); and Milwaukee, Wisconsin ($1.5 million).

Funds provided may be used by city drug treatment programs to develop a central intake unit; improve a patient tracking system; improve treatment facilities; train staff; and coordinate health, human services, education, criminal justice, and other providers of treatment.

The cornerstone of these awards is the emphasis placed on intergovernmental cooperation on all levels. Funded by the federal Office for Treatment Improvement (OTI) of HHS' Alcohol, Drug Abuse and Mental Health Administration, the awards are actually made to state drug abuse programs, which must then fund the target cities selected in a competitive process. Says Assistant Secretary for Health James O. Mason, "OTI staff will work in close collaboration with the selected cities and their state drug abuse programs to ensure success in building comprehensive approaches to meeting the needs of substance abusers."

For information about these and other HHS drug abuse treatment awards, contact: Joan Hurley, Office for Treatment Improvement, Rockwall II, 10th Floor, 5600 Fisher's Lane, Rockville, MD 20857; (301) 443-6549.

The Office of Substance Abuse Prevention (OSAP) has initiated some programs and funding for community drug abuse education and prevention projects. In fiscal 1991, for example, $4 million will be available to support fifteen to twenty grants at an average award of $200,000. Grants will be for projects that demonstrate effective models for the prevention, treatment, and rehabilitation of drug and alcohol abuse among high-risk youth, including homeless and runaway youths between the ages of thirteen and twenty-one.

For more information, contact: Division of Demonstrations and Evaluations, Office for Substance Abuse Prevention, ADAMHA, Rockwall Building, 9th Floor, 5600 Fishers Lane, Rockville, MD 20857; (301)443-0356.

There is also money available through OSAP for substance abuse prevention conferences. Public – including local governments – and private, profit and non-profit entities may apply. For more information, contact: National Clearinghouse for Alcohol and Drug Information, P.O. Box 2345, Rockville, MD 20852; (301)443-4783.

Earned Income Tax Credit

Another federal program that benefits families and children is the Earned Income Tax Credit (EITC). This is a tax credit for families that work – full time, part time, or part of the year – and have children. To qualify, a familiy must earn less thant $19,340 a year (in 1989) and have at least one child living at home. The maximum EITC benefit is $910.

In 1989, nearly 11 million families received this tax credit. There is, however, a substantial number of families that are eligible for the credit but do not receive it. To receive the credit, a family must file an income tax return. Many of the low-income families eligible for the credit earn too little to owe any federal taxes. Some families, since they owe no taxes, don't file, and thus do not receive the credit.

Local government can play an important role in informing families about sthe eligibility requirements of the EITC and in encouraging families to file income tax returns and thus receive the tax credit. Many cities and nonprofit organizations have embarked on Earned Income Tax Credit campaigns to do just that. The Internal Revenue Service recently reported that receipt of the credit increased more than 17 percent since 1988, an increase of two million families. The IRS credits last year's EITC campaigns with playing a major role in bringing about that increase. For more information, contact: Center on Budget and Policy Priorities, 777 North Capitol St. NE, Washington, D.C. 20002; (202) 408-1080.

How To Find More Federal Programs

As noted earlier, only selected programs are listed above; they are drawn from responses to surveys and contacts with intergovernmental offices. Many publications list federal programs and funding, often concerned with a specific subject area such as education, drug abuse projects, or social services. It is important, however, to recognize that these are only general references designed to provide a starting point in a city's efforts to secure federal funds.

For a local official interested in learning about federal sources locally, the best thing to do would be to contact any of the regional resources listed in Appendix B, C, or D. Those offices can tell you what federal money is available when, how to apply for it, how best to influence the decision-making process if the grants are awarded through a competition, who actually makes the regulations regarding use and distribution, and where to find more information for particular programs or problems.

In general, and especially with block grant money, local officials can have an impact on how federal funds are distributed by providing state and federal administering agencies with detailed assessments and data analyses of local needs. The more information you have about federal programs, the better you can address various local needs and influence the direction of the flow of funds. The state and regional offices of these programs, listed in Appendices B, C, and D, can provide the kind of specific information you can use when addressing those special needs.

For more general information or to get a sense of what is out there, consult the *Catalog of Federal Domestic Assistance (CFDA)*, which provides basic information on every federal program. It gives the title, purpose, and an overview of each program's regulations, including eligibility requirements for federal funding. The basic utility of the *CFDA* is that it provides an overview of all such programs and can serve as an introduction to federal programs for an official with little or no experience in the field. The weakness: *CFDA* generally does not provide timely information on new programs or application deadlines. It should be viewed as a general encyclopedia for researching federal programs. Copies are available from: Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

Of far more utility is the *Federal Register*, published daily, Monday through Friday, by the National Archives and Records Administration. It is comparable to a daily newspaper on federal programs and actions and includes several types of essential information.

First of all, it contains notices of the availability of grants and other cooperative funding agreements. In recent years, the time between the initial notice of grant availability and the deadline for applications has been steadily shrinking, with only a four to six week period from the time applications are requested until applications are due being common. The *Federal Register* remains the most timely publication for the local government official seeking to effectively monitor the availability of federal funds.

The *Federal Register* also contains proposed rules and regulations for federal programs. Proposed rules often contain information about programs that are to provide federal funds at the local level. The importance of reviewing proposed rules is that it gives you an opportunity to comment on program regulations before they are officially enacted. By submitting official comments to agency staff as regulations are being developed, you may have a subtle effect on the regulations that will improve a city's competitive position in any grant funding cycle that may result from the program.

The regulations appearing in the *Federal Register* are final rules governing the operation and administration of various federal programs. By being aware of such regulations as they are published, you may gain some extra time in program development and application preparation before receiving "official" notice of a grant program from the federal or state government.

The *Federal Register* is available by subscription, also from the Superintendent of Documents, at an annual cost of $340.

Reingold and Associates' *Current Federal Policies and Programs for Youth* provides an overview of just about every program the federal government has for youth. Its summaries of youth policies, programs, and related expenditures provided basic federal information for this book.

While this is a helpful piece to get a sense of what is available, it is only an overview of the very basic elements of government programs for families and children. For specific programs, application requirements and regulations, use the *Federal Register* or the contacts listed in Appendix B, C, or D.

Copies of the *Current Federal Policies and Programs for Youth* are available for $5.00 from: William T. Grant Foundation, 1001 Connecticut Ave. NW, Suite 301, Washington, D.C. 20036-5541; (202) 775-9731.

For McKinney and other homelessness programs, the Interagency Council on the Homeless is a good resource. In addition to periodic books and reports, the council puts out two regular publications: *Council Communique*, a newsletter reporting on new developments and programs, and *Program Alert*, which actually reviews application procedures, changes in regulations, deadlines, and program information. Both are very helpful, specifically for housing and homeless related program information. Contact: Interagency Council on the Homeless, 451 7th St. SW, Washington, D.C. 20410; (202) 755-1480.

For information on block grants – specifically JTPA, SSBG, Small Cities CDBG, and Chapter II of the Elementary and Secondary Education Act – the Coalition on Human Needs, a Washington-based non-profit group made up of more than one hundred national organizations concerned about the unmet needs of the poor, produced a report called *Block Grants: Missing the Target; An Overview of Findings*. The study reviews the findings of the Coalition's three-year monitoring project of the four block grants in eleven states. The full report is in two volumes priced at $10.00 each. A thirty-three page executive summary is available for $4.50. These are available from: Coalition on Human Needs, 1000 Wisconsin Ave. NW, Washington, D.C. 20007; (202) 342-0726.

In addition to these printed resources, human contact is always very helpful. For the most part, federal officials are reluctant to prescribe any one cure for the various social ills of cities, but they do encourage local officials to contact them or their regional and local counterparts.

When asked what programs he would recommend to cities, Sandy Blunt, from HUD's Intergovernmental Relations office, replied that because each city is so different with a different set of problems, he doesn't like to say cities should use any specific program. What he and the Deputy Undersecretary for Intergovernmental Relations, Steven Glaude, do is talk to city officials about their particular city's situation and then review the range of HUD programs that would be viable solutions.

There are good resources in each department's intergovernmental affairs offices who can give local officials an overview of relevant federal programs.

- Margaret Caccia, Office of Intergovernmental Relations, Department of Education; (202)401-0409
- Jim Ivery, Office of Intergovernmental Relations, Department of Health and Human Services; (202)245-6156

- Sandy Blunt, Office of Intergovernmental Relations, Department of Housing and Urban Development; (202)708-0030

Each city, if it expects to secure federal funding for local projects, should develop a consistent approach toward monitoring federal programs, and persistently present local developmental objectives to appropriate federal officials. Maintaining such contacts at the federal level requires a periodic presence in Washington, as well as consistent long distance interaction. Chapter Seven will explore in more detail how local officials can effectively establish and maintain these relationships.

What Cities are Doing with Federal Money

Cities use a variety of the funds described earlier, often in combination with other programs – federal, state, local, and private. Here is a sampling of what we found. Again, these should be seen as examples and suggestions, not the extent of city uses of federal funding.

Cities using CDBG

Plymouth, Massachusetts (population 42,000), is using Small Cities CDBG to prepare a human services needs assessment, resource inventory and long range plan. Contact: Judi Barrett, Community Development Director, Town Hall, Plymouth, MA 02360.

Binghamton, New York (population: 55,860), uses CDBG funds in various human service programs. Among these are child care organizations. Over the last nineteen years, the city has allocated a portion of the CDBG grant to child care agencies that serve low- and very low-income residents. Contact: Mr. Robert Sweet, City Hall, Binghamton, NY 13901.

In Anaheim, California (population 219,494), the major municipal child care program is a latchkey program operated by the Recreation Division of the City's Department of Parks and Recreation. CDBG funds are used to purchase portable classrooms; facilities are run by the local elementary school district or by a local private contractor. Contact: Steve Swaim (714)999-5167.

Cities Using McKinney

Long Beach, California (population 361,355), has a Cold Weather Emergency Shelter Program that is a collaborative effort among federal, state, and county agencies. Federal funds are provided through FEMA, the state of California's National Guard provides the facilities, and Los Angeles County receives the FEMA funds and contracts with local agencies to administer the program. The city of Long Beach provides logistical support for the operation of the program. Contact: Michael Parker, Administrative Officer, P.O. Box 6157, Long Beach, CA 90806.

Daytona Beach, Florida (population 62 ,850), uses funds from the McKinney Homeless Program for Transitional Housing. Contact: James Huger (904) 258-3104.

Cities Using JTPA

Little Rock, Arkansas (population: 158,195), described their City Beautiful Kids project as one funded by JTPA. The city, with support from the community and sponsorship from businesses, provided summer jobs for youths fourteen to eighteen years old. The youths perform clean-up and beautification jobs throughout the city. Contact: Gwen Owens, 500 West Markham, Little Rock, Arkansas 72201.

The Wichita, Kansas (population 279,835), Human Services Department won the National 1988 JTPA Award for Excellence, selected by the National Association of Counties, for its program with the Wichita State University College of Health Professions in youth training for at-risk, minority/disadvantaged youth. Contact: Thomas Smith, City Hall, Wichita, KS.

Cities Using SSBG

The city of Jacksonville, Florida (population: 540,898), uses SSBG Title XX funds for a Child Care Program. The city, in cooperation with Barnett Bank and the State Department of Health and Rehabilitative Services has developed a program to train mothers who are on welfare to operate family day care homes. These mothers are then provided child care slots under the Title XX Child Care Program so that they can run a family day care home. In this way, says Camilla Sims-Stambaugh, Jacksonville's Chief of Child Services, mothers are able to "get off the welfare rolls, and additional children are provided child care." Contact: Camilla Sims-Stambaugh, Chief, Child Services, 421 W. Church St., Room 402, Jacksonville, FL 32202.

In Bloomington, Indiana (population 51,646), the Department of Human Resources works on child care issues and administers the child care food program for family day care providers and Title XX/SSBG funds for child care subsidies. Contact: Wendy Perry (812) 331-6430.

In Baltimore, Maryland (population 786,741) the Mayor's Office for Children and Youth is supported by SSBG and other state and federal funds. Contact: Diane L. Bell-McKoy (301) 396-4848.

Federal Funds for Non-Profit Loan Program

The city of Portsmouth, New Hampshire (population 26,000), has created a new creative loan fund using recycled CDBG payments. This use of CDBG funds is a new approach to assist non-profit service providers in gaining financial stability.[9]

"The Non-Profit Loan Program provides long-term, low-interest, fixed rate financing for non-profit organizations. By lending the funds needed for the non-profit to purchase a building, the city is able to help the organization achieve higher stability and financial security. As property owners, the non-profits can pay monthly mortgage payments instead of rent, and they can build equity in the process. The loan repayments to the city are then recycled to assist other groups.

"The program requires that the non-profits provide at least 51 percent of their services to people of low and/or moderate incomes, as well as meet the definitions set forth by HUD regulating the use of CDBG funds. The interest rate and term of the loan are negotiable, but the financing is limited to the purchase of real estate.

"The first loan made under this program was to a local shelter for battered women that desired to purchase a home. Using the city's loan of $70,000 at 3 percent over 30 years, the organization was able to leverage a HUD Emergency Shelter grant for the remainder of the purchase price. Without the initial city loan, the organization would not have been able to make the purchase."

For more information, contact: Craig Wheeler, Planning Director, City of Portsmouth, (603)431-2000, ext. 216.

Federal Funds for Transitional Housing

Louisville, Kentucky (population: 298,694) has consistently played a major role in coordinating community-based organizations that assist the homeless, thus beginning to deal with the homeless population in a comprehensive manner.

The local Coalition for the Homeless discovered in 1985 that Louisville needed to develop more transitional housing and services in order to make families more economically self-sufficient. The city responded immediately by providing $500,000 which was used as matching money for the McKinney Act's Transitional Housing Demonstration Program. Since that time, the city has received $14,000,000 from the program, and has provided about $1 million in matching funds, as well as in-kind services and contributions.

The city chose to use funds from the McKinney Act and specifically from the Transitional Housing Program because, as Mary Margaret Mulvihill, the

Deputy Director of the city's Office of Human Services, explained, "it is the only federal program that deals specifically with affordable housing. What we need is a National Affordable Housing Act, but until then we can use McKinney funds."

Mulvihill went on to say that the key to successful use of these funds to create effective transitional housing was very strong case management. "What is required is a social as well as economic commitment to the people who need the transitional housing."

To that end, Mulvihill went on, the McKinney Act program would be vastly improved if the use of funds were made more flexible – that is, if dollars could be used to hire professional staff and for other operational costs of the housing, as well as the actual building of transitional units.

But even without that flexibility, the program for transitional housing seems to work. Through a cooperative spirit between the city and the local organizations that provide services to the homeless, Mulvihill claims that Louisville is "accomplishing the ultimate in the number of units and services now provided for the homeless of our community." Why? Quite simple: "the agencies trust the city."

For more information, contact: Ms. Mary Margaret Mulvihill, Deputy Director, Office of Human Services, 515 W. Market Street, Suite 700, Louisville, KY 40202.

Federal Funds for Infant-Toddler-Parenting Center

In the city of Somerville, Massachusetts (population 77,372), the mayor's Office of Human Services hired a planner and organizer to begin developing an infant-toddler-parenting center for the city's major housing project. By encouraging tenants, and maintaining good relations with the Housing Authority, a site was found, and an operating agency was selected.

The federal Department of Housing and Urban Development awarded the project a one year (1988-89) $95,000 grant from the Public Housing Child Care Demonstration Program. The city of Somerville, acting as the broker, wrote the actual grant proposal to HUD, and the money was awarded to the Elizabeth Peabody House, the program's operating and administering agency.

These monies were used to renovate the site and to start the program. Since then, the project has received several grants from the Lotus Foundation, as well as voucher funds from the state of Massachusetts. For the most part, the program is sustained by fees paid by those who use the center.

For more information, contact: Ralph Hergert, Director, Mayor's Office of Human Services, 167 Holland St., Room 208, Somerville, MA 02144; (617)625-6600, ext. 2400.

NOTES

1. Catherine E. Born, *Our Future and Our Only Hope: A Survey of City Halls Regarding Children and Families*, National League of Cities, Washington, D.C. 1989; p. 51.
2. Robert D. Thomas, "National-Local Relations and the City's Dilemma," *ANNALS*, AAPSS, 509, May, 1990; p. 113.
3. Richard P. Nathan and John R. Lago, "Intergovernmental Fiscal Roles and Relations," *ANNALS*, AAPSS, 509, May, 1990; pp. 38-39.
4. *Ibid*, p. 40.
5. *Ibid*, p. 41-42.
6. *Op. cit.*, p. 116.
7. *A Decade of Devolution*, Urban Institute Press, 1989, p. xiv.
8. Douglas D. Peterson, *City Fiscal Conditions 1990*, National League of Cities, Washington, D.C. 1990, p. 44.
9. The information for this profile comes from *Reinvesting in the Community: Maximizing Public Investment through Creative Re-Use of Funds*, International City Management Association, Washington, D.C. July, 1990; pp 12-13.

CHAPTER THREE

CITY AS BROKER OF STATE ASSISTANCE

By Carolyn Grose

> "Kids and families in Tucson have a tougher time and are more likely to have all kinds of problems than the average American child or family. At the same time, Arizona has fewer resources. State funding is minimal and tragically inadequate in all." (Tucson, Arizona)[1]

We saw in the last chapter that the balance of authority and flow of funds among federal, state, and local governments underwent a massive shift during the 1980s. In short, the federal government stopped sending money to localities, and instead sent a much smaller amount to states to be passed on to cities and towns.

As a result of the loss of federal involvement in many local programs, most states have "reformed their constitutions, improved their institutional capacity to manage programs, and responded more readily to their urban constituents than they had in the past."[2]

What does this mean for state-local relations? According to Steven Gold, formerly of the National Conference of State Legislatures, now the director of the Center for the Study of the States at the Rockefeller Institute of Government at the State University of New York, Albany,

> "States have great power to influence the services provided by local governments and the manner in which they are financed. Along with that power comes a responsibility to enact policies that create the best possible system for delivering services, consistent with the resources

> available. Because of the impending changes in the federal system, it is incumbent upon legislators to reconsider the entire existing system of financing local governments....The time has come for states to change their attitude toward local governments – to stop considering them like just another special interest group and to start treating them like partners in our federal system of providing services for citizens."[3]

Obviously, states have not always played the role in the affairs of local governments as they do, or can, now. Back in the 1950s and early 1960s, state governments were depicted as the "weak sisters and fallen arches" in the American federal system.[4] It was not until the mid-1960s and 1970s that state governments began to become involved in domestic affairs. At that point, state governments began to create state and local welfare, health, and transportation programs.[5]

Then in the 1980s, of course, states had to pick up where the federal government left off. As a result of cuts in federal programs, state governments assumed responsibility for forty federal programs for education, transportation, community development, and social services.[6]

Like federal aid to the states and localities, state aid to cities and towns often has mandates attached. These mandates may require the local government to assume new program responsibilities, or to meet state-defined standards that do not always have the municipality's priorities or capacities in mind.

Cities and towns would prefer not to have to comply with state mandates at all, but "local autonomy is of limited use to localities lacking the financial resources to enjoy it."[7] Often, poorer communities are so desperate for resources that they will accept any state aid they can get, even with the strings attached.

In the NLC's *City Fiscal Conditions 1990*, local officials said that reducing state mandates would be the most constructive action states could take. Steven Gold agreed, suggesting that

> "states [should] review their mandates placed on local governments. [and] consider relaxing or eliminating those requirements and in some cases assuming the cost of complying with them. Some method should be developed...to assure that the costs of all prospective new mandates are taken fully in account before they are enacted."[8]

Types of State Assistance

> "States either appropriated more money for local programs or empowered local governments with greater taxing authority; in some cases, states did both."[9]

In addition to federal money that flows through the states to local projects and programs, examples of which were reviewed in Chapter Two, there are two major types of state assistance to local governments: indirect and direct. By indirect, we mean that states have legislation or tax policies that allow local governments to spend money on families and children; or that states actually assume a service formerly provided by the city or town. Direct assistance is what the term implies: state funds paid to municipalities.

Tax Policy and Regulation: State-Local

> "States do over five times as much to improve the relative fiscal position of...cities by giving them access to taxes with export potential and by divesting them of service responsibilities, as by giving them above-average grants per capita."[10]

According to the National Association of State Budget Officers (NASBO), twenty-two states have assumed responsibility for some local services since 1982. One of NCSL's recommendations for improving relations between state and local governments is that states move in the direction of "assuming major poverty-related costs from local governments."[11]

In terms of tax policy, many states have tried to counterbalance their strict mandates on local governments by giving them greater taxing authority. The authority to tax income, for example, has been granted to local governments by seventeen states. Cities may levy an income tax only if the county in which they are located does not.

Cities are increasingly taking advantage of that authority. In Alabama, according to the Alabama League of Municipalities, eleven cities had levied local income taxes in 1989, up from only six in 1976. Wilmington, Delaware, has had a local income tax since 1976. Eighty-four cities in Kentucky impose income taxes, up from only fifty-nine in 1976. Michigan has gone from sixteen to nineteen city income taxes. Kansas City and St. Louis, Missouri, both levy personal income taxes, as do New York City and Yonkers, New York.[12]

Moreover, employer payroll taxes are levied in California, New Jersey, and Oregon. Arkansas cities may contract with the Commissioner of Revenue for collection of an income tax. To date, no city income taxes have been imposed, however. Georgia counties and municipalities may levy a 1 percent tax on entire Georgia taxable net income, as computed for state tax purposes, if approved by the voters.

Direct Aid: State-Local

Direct state aid to local jurisdictions has taken on increased importance since direct aid from the federal government has diminished. In 1986, state payments to local governments was $126.8 billion. This figure made up 33 percent of total revenue for local governments.[13] State aid pays for about 55 percent of local education costs, and about 80 percent of local public welfare costs.[14]

Looking at individual states and cities, these figures break down as follows: In 1986, New York gave $8.9 billion in aid to its cities, followed by Massachusetts, which gave $2.5 billion, and California at $2.1 billion. Delaware and West Virginia pass on less than $10 million to their municipalities.[15]

Seventy-eight percent of New York's aid went to support public education and public welfare, which are not responsibilities municipalities normally assume. The sheer size of New York City and the services it provides explains that large percentage. New York City receives 92 percent of all state assistance provided to cities.[16]

In Massachusetts, the situation is slightly different. Since Proposition 2 1/2 restricted local government's capacity to raise revenue, thus centralizing the tax collection at the state level, the state has played a growing role in financing local governments. And in California, the high funding level is due almost entirely to the large population of the state.[17]

When asked where local officials should go for state money for families and children, Gloria Clark, from the Mayor's Office of Human Services in New Bedford, Massachusetts (population 98,478), advised: "go after Education money, go after Job Training money, go after Social Services money; go after Health Care money. Above all, do not rely on one source of funds."

In addition to the state departments that Clark mentioned, several states, including Hawaii, Massachusetts, Maryland, and Puerto Rico, have offices of Family and Youth, or Children and Families, that can be used as resources for local officials.

In Arizona, the Governor's Office for Children provides funding and assistance for local juvenile justice programs, and the Governor's Office for Drug Policy deals with local concerns about drug prevention programs.

According to Andrea Dahl of the Association of Washington Cities, Washington's Department of Community Development administers a Housing Trust Fund, an Emergency Shelter Assistance Program, an Emergency Food Assistance Program, and an Early Childhood Education Program. Administered from the state capital, Olympia, these are statewide programs to which cities can and do apply for funds to support local projects.

The state of Washington is also in the process of creating a "Family Academy," an effort spearheaded by the Governor's office which would coordinate the efforts and programs of the state Departments of Social and Health Services, Employment Security, Community Development, and other human services departments.

According to Dahl, the point of such a coordination is to make the system of social service delivery "more responsive to the people it serves." An eventual goal of the Family Academy is to facilitate a similar reorganization and coordination of departments and services on the county and local level.

The Virginia Department of Housing and Community Development makes homeless intervention funds available to Virginia municipalities. The Ohio Department of Health and the Ohio Bureau of Maternal and Child Health help fund municipal programs for families and children.

In Indiana, Michael Quinn, the Executive Director of the Indiana Association of Cities and Towns, explains that the state and individual counties are "mostly responsible for carrying out social service programs at the local level." An example is a state program run by the Youth Service Bureau in the Social Services Division of the Department of Human Services.

In fiscal 1990, the Bureau provided $325,000 to communities to support community-based programs for children to prevent juvenile delinquency. Child advocacy, community education, and information and referral services are provided. The Indiana Youth Services Association represents the twenty-four grantees that provide grass roots services for children, such as shelters, crisis lines, independent living programs, and alternative schools. For more information, contact: Emily Marshman, Indiana Legislative Services Agency, 302 Statehouse, Indianapolis, IN 46204; (317) 232- 9598.

How To Find More

The above is, of course, just a partial list of state activities and/or agencies that offer funding or assistance to local governments for families and children. For a more complete listing, here are some references.

National Association of State Budget Officers

Published by the National Association of State Budget Officers (NASBO) for the first time in 1989, *State Aid to Local Governments, 1989* is a good guide that offers a detailed account of what state governments are giving local government without including federal funds that pass through the states to localities or other areas. NASBO is currently working on an updated version for fiscal 1990. Because it encompasses every aspect of state government aid to localities, it does not provide the kind of detail many local officials might need to determine which program is most appropriate for particular concerns related to children and families. Copies are available for $25.00 from: National Association of State Budget Officers, 400 North Capitol St. NW, Suite 295, Washington, D.C. 20001-1572; (202) 624-5382.

The Advisory Commission on Intergovernmental Relations

Based in Washington, D.C., the Advisory Commission on Intergovernmental Relations (ACIR) annually produces *Significant Features of Fiscal Federalism*, a document that compiles governmental finance data from a variety of sources, relying heavily on the U.S. Census. ACIR also sells selected data from the Census governmental finance series in the form of computer disks for personal computers. These are useful in making state to state, city to city, and state-local comparisons. They do not contain state level summary information by jurisdiction, however. For more information on either resource, contact: ACIR Publications, 1111 20th St. NW, Washington, D.C. 20575; (202) 653-5640.

State Agencies

The states themselves are very good resources. In addition to the departments noted above that actually administer the programs and funds for cities and towns, many states have their own guides or offices that you can use to get more information on state resources for local programs for families and children.

A state-level *Catalog of Federal Domestic Assistance* (see Chapter Two for more information), for example, describes how to access federal funds channeled through the state, as well as any state money that is available to local governments. According to the Grantsmanship Center's Fall/Winter, 1990 *Whole Nonprofit Catalog*, thirteen states publish such guides. In many states, too, the individual state agencies offer their own separate "grants lists," describing the state-administered grants available to municipalities.

A complete listing of the Grantsmanship Center's guide appears in Appendix A. Here are several highlights:

- *Alaska State Aid Catalog*, published by the Alaska Municipal League;
- *Maryland Catalog of State Assistance Programs*, published by the Maryland Office of Planning;
- *New York State Aid to Local Government*, published by the New York State Office of the State Comptroller;
- *Washington State Agency Assistance for Local Governments*, published by the Association of Washington Cities.

What Cities are Doing with State Money

As we saw earlier, states provide assistance to cities both indirectly and directly. Here are some examples of what cities are doing with state aid.

Indirect Assistance: State Regulations

Virginia has what George Hendrickson of the Hampton (population 122,617) Department of Social Services called the "constitution of social services." Section 63.1 of the Code of Virginia, "Public Social Service Laws and Related Statutes of Virginia" creates, defines, and regulates state, county and local boards of public welfare, departments of social services, grant application, and service delivery. When asked how Hampton in particular used the code, Hendrickson responded, "that's like asking how America uses the Constitution."

In Kentucky, the state supreme court found that the education system was unconstitutional, and ordered the state legislature to change it. The result was House Bill #940, passed in 1990, which completely revises the state's education system. One of the goals of the bill is to set up a mechanism that gets school districts and local governments to coordinate their efforts and work together to provide services to their constituents. One of the bill's provisions sets aside money for which local school districts can apply to further those efforts. For more information, contact: Sandra L. Deaton, Legislative Research Commission, State Capitol, Frankfort, KY 40601; (502) 564-8100, ext. 349.

Indirect Assistance: Tax Policy

Several states have policies that allow cities to raise or spend revenues specifically for programs for families and children.

On October 1, 1990, Public Act 298 went into effect in Connecticut. An amendment to this act, proposed by Senator Kevin Sullivan, allows municipalities to grant property tax exemptions to businesses that provide day care services to municipal residents. The amendment came about because the town of Farmington had expressed an interest in having a tax incentive to promote business investment and commitment to local child care, to make up for a lack of day care centers in the town. As we went to press, the town was beginning to consider what specific action to take as a result of the new legislation.

In California, the cities of Concord (population 103,763) and San Francisco (population 678,974) began in 1986 to charge fees to local developers for child care. Prompted by these cities' actions, the State Legislature passed enabling legislation, AB 1828, in 1989. The city of Pasadena (population 118,072) is now considering taking advantage of the new law.

In May, 1990, the Colorado Legislature passed Bill #90-161 "Concerning Child Care for Working Families in Colorado." Section 14. 39-30-103.5, entitled "Credit against tax – contributions to enterprise zone administrators to implement economic development plans," encourages monetary or in-kind contributions to promote child care in enterprise zones by allowing cities to grant tax credits to businesses that make such contributions. Denver (population 492,686) has taken advantage of this new regulation.

In 1945, using authority granted by the state legislature, Pinellas County, Florida, established the first Juvenile Welfare Board, as a separate, independent special district of local government with the authority to levy its own taxes. The taxes raised support a community-wide needs assessment and programs to meet the needs identified.

Pinellas County uses a dedicated tax levy to enhance planning and increase services for families and children. It does not provide direct services. Instead it serves as "a planning agency, focusing and coordinating the efforts of a multitude of existing private and public agencies providing services to children."[19]

The experience of Pinellas County resulted in the passage of permissive legislation for such programs elsewhere in Florida. In 1986, the Florida Legislature passed a bill enabling every county in Florida to establish an independent special district specifically to raise revenues to spend on children's services.

Later that same year, Palm Beach County voters passed a referendum to create a Juvenile Welfare Board funded by those revenues. The sole purpose of the Children's Services Council of Palm Beach is to "plan, coordinate, fund, and evaluate programs, and to address public policy issues relating to children in Palm Beach County."[20]

By November, 1990, Children's Services Councils had been established in six Florida counties, including the urban counties of Pinellas and Palm Beach. According to James E. Mills, Executive Director of the Juvenile Welfare Board in Pinellas, the six counties represent about a quarter of the children in Florida.

The Welfare Board in Pinellas County was originally empowered by Florida law to tax up to $.50 per $1,000 of non-exempt property evaluation. If the Board were to tax at this rate, it could raise about $14 million a year to be spent on children's services. In September, 1990, a Children's Referendum appeared on the Pinellas County ballot, asking voters to approve an increase in millage to $1.00 per $1,000, effectively doubling the revenue available to the Juvenile Welfare Board. The referendum was approved by 67 percent of Pinellas County voters – more than voted for either the Democratic or Republican candidates. Declared Mills, "the kids outpolled the Governor."

In Illinois, a state-based child advocacy organization called Voices for Illinois Children is proposing a Children in Poverty Tax Credit for the state. The hope of Jerry Stermer, the group's president, is to establish a state earned income tax credit for families earning under $6,000 of about $200 a year, instead of the small but real amount of income tax they now pay. Since the credit, like the federal Earned Income Tax Credit, would go only to families with children, the added income would benefit children in a more concentrated way than an across the board negative income tax.[21]

Voices for Illinois Children has pressed vigorously for passage of the bill, and the media has been very supportive. The legislature has been the problem. The tax credit was introduced in the state house and senate, but has been put in committee in both. Stermer's hope is that the bill will be passed in the spring of 1991.[22]

Direct State Assistance

In addition to the indirect state-local aid that is established by tax policy and regulations, many cities use direct funds from various state departments. Here are some ways cities have found to tap into state aid and resources to fund and coordinate programs for families and children.

Department of Health funds

The Elyria, Ohio (population 57,504), health department, with a grant from the Ohio Department of Health, Office of Child and Family Health Services, operates a well-child clinic four days a week; a prenatal clinic five days a week; an immunization clinic twice a month; and a dental clinic three times a month. The city contributes funds and space, heat, and electricity to the program. Contact: Kathryn Boylan, 202 Chestnut St., Elyria, OH 44035.

Department of Mental Health funds

In Indianapolis (population 700,807), and other cities in Indiana, the state Department of Mental Health funds ten demonstration projects serving infants and toddlers. The early intervention services project is called First Steps. Contact: Emily Marshman, Indiana Legislative Services Agency, 302 Statehouse, Indianapolis, IN 46204.

Department of Education funds

Huntington Beach, California (population 170,505), uses money from the state Department of Education to fund local child care programs. Contact: Nancy Claxton, (714)966-4000.

Trenton, New Jersey (population 92,124), taps into state funds from the Department of Education to pay for the city's Summer Food Program for children. Contact: Emma Davis-Kovacs, State of New Jersey Department of Education, Consoo, Trenton, NJ 08625.

Department of Social Services Funds

Somerville, Massachusetts (population 77,372), has used state Department of Social Services funds for child protective services and child care grants. Child welfare agencies are funded as part of DSS' core program. Contact: Ralph Hergert, Director, Mayor's Office of Human Services, 167 Holland St., Room 208, Somerville, MA 02144.

Direct State Aid for Teen Health and Counseling

In Taylor, Michigan (population 77,568), a teen health and counseling center was established in 1988 with funds provided by the Michigan Department of Public Health. The Department had set aside a certain amount of money specifically for the establishment of local teen health and counseling centers. Three have since been established across the state: Taylor's was the first, followed by similar programs in the cities of Inkster and Romulus.

The state grant requires some matching funds from the city, either direct donations or in-kind contributions. In Taylor, the center was established in Heritage Hospital, which contributes time, facilities, and staff.

The grant is set up so that each center receives $100,000 per year from the state until the third year. At that point, the center is awarded state money based on the number of teens it serves. In order to match the original $100,000 grant, the center must serve approximately 1,000 teens. If more clients are reached, the center will receive more money. If fewer are served, the center receives fewer funds.

While at first a highly controversial subject, the teen health and counseling center has become a truly cooperative effort between the city, the state, the school district, Heritage Hospital, parent groups, and students. Visits are well above projections as the center embarks on its third year of operation. For more information, contact: Mary Carr, Heritage Hospital, 24775 Haig, Taylor, MI 48180; (313) 295-5260.

Direct State Aid for Job Training

In 1990, Cambridge, Massachusetts (population 95,322), received a $100,000 Ford-Kennedy Innovations award for its state-funded Unemployment Prevention Program, Work Force, which combines after-school classes with "try-out" jobs in local businesses for teenage public housing residents. In 1983, the state agreed to fund employment programs based in housing programs, and in 1984 it gave the Cambridge Housing Authority $250,000 to hire staff and start recruiting participants for the innovative program.

Work Force, directed by Stephen Davis, is aimed at breaking the cycle of unemployment much earlier than traditional job programs do – as young as age thirteen. Steven J. Swanger, the housing authority's director of tenant services who claims he has "spent too much time dealing with problems after they've become crises," was instrumental in convincing the state to fund this "pre-employment" program.

Work Force participants are paid the minimum wage by the housing authority, with many employers – mainly local businesses – contributing more. The state Department of Public Welfare has agreed to count the earnings as an educational stipend rather than income to the family, avoiding a reduction in the family's welfare benefits.[23]

Direct State Aid for Teen Pregnancy Consortium

In November, 1987, the city of Yonkers, Newe York (population 195,351), received a state grant from the Council on Children and Families in the Department of Social Services to coordinate a consortium of services for pregnant, parenting, and at-risk youth. The program involves agencies that provide case management, counseling, education, residence, and infant day care.

The city Bureau of Youth Services is the lead agency, coordinating, monitoring, overseeing, and administering the services of ten subagencies and the Board of Education. Yonkers' original grant was for $400,000; at the beginning of the project's third year, the amount has gone up only slightly, to about $420,000.

The idea of a consortium of agencies to address the needs of pregnant, parenting, and at-risk teens began in Governor Cuomo's office. He sent out a call to one hundred agencies across the state, asking them to apply for a grant to establish this kind of project. There are currently twenty-four such programs in New York.

When asked why the Yonkers program had been so successful, Julie Frauenfelder, the Coordinator in the Bureau of Youth Services, replied that a consortium of services like this one got rid of all the turf battles between agencies competing for funds, clients, and publicity. Now the needs of the teens are being met and the agencies are being funded.

When asked if she had any tips for other local officials on how to get state funding for city programs for families and children, Frauenfelder suggested: "present a package that might work." For more information, contact: Julie Frauenfelder, Coordinator, Bureau of Youth Services, 201 Palisade Ave., Yonkers, NY 10703.

New Bedford, Massachusetts (population 98,478), has been involved over the last ten years in the Pregnant and Parenting Teen Coalition, a consortium for pregnant teens similar to Yonkers' that is used as a model program by the state to initiate programs in other cities. Funding for the project came from federal, local, and state sources, including the Department of Social Services and the Department of Public Health. For more information, contact: Gloria Clark, Mayor's Assistant for Human Services, 133 William Street, New Bedford, MA 02740.

NOTES

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2. Michael Pagano, "State-Local Relations in the 1990's," *ANNALS*, AAPSS, 509, May, 1990; p. 95.
3. Steven Gold, *Reforming State-Local Relations*, National Conference of State Legislatures, p. xvii.
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5. *Ibid*, p. 41.
6. *Ibid*, p. 43.
7. Pagano, p. 102.
8. Gold, p. xxii.
9. *State Aid to Local Governments*, 1989, National Association of Budget Officers, p. 3.
10. Helen Ladd and John Yinger, *America's Ailing Cities*.
11. Gold, p. xxiii.
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13. Douglas D. Peterson, *State Aid to Cities & Towns: Sharpening the Focus*, National League of Cities, Washington, D.C. 1988, p. 8.
14. *Ibid*, p. 10.
15. *Ibid*, p. 14.
16. *Ibid*, p. 14-15.
17. *Ibid*, p. 15.
18. John E. Kyle, *Children, Families & Cities: Programs that Work at the Local Level*, National League of Cities, Washington, D.C., 1987; pp 29-33.
19. "Special Taxing Districts for Children: A Powerful Idea from Florida," *Healthy Children Report*, Boston, MA; p. 9.
20. *op cit*, p. 13.
21. "Tax Issues: A Beginning to a Solution," *The Child Advocates' Information Exchange*, Association of Child Advocates, Cleveland OH, May, 1990; p. 2.
22. *Ibid*, p. 2
23. *Governing Magazine*, October, 1990; p. 38.

CHAPTER FOUR

CITY AS BROKER OF PRIVATE RESOURCES

by Bill Carey and Michael C. Ward

> "It seems clear that this decade will be characterized by belt-tightening in domestic spending as the federal government struggles to balance the budget and pay off the national debt. At this crucial juncture in our nation's history, I believe it is imperative that the private sector, led by the business community, continue to step in and invest in America."
>
> –James A. Joseph, President, Council on Foundations[1]

As we have seen at both the federal and state level, major efforts are under way to reduce the level of government spending in this country and to shift more of the responsibility for dealing with community needs from public to private institutions.

As originally conceived, the budget cuts and program restructurings that lie at the heart of these changes were advanced as a way to shift more of the responsibility for community problems from the federal government to state and local governments, and from public institutions to private ones. One aim of these changes was to bring the development of solutions closer to the focus of the problems and the resources of private, voluntary action in meeting community needs.

This chapter gives a detailed overview of the kinds of private resources that are available to cities and towns to fund programs for families and children. In addition, it explicitly describes ways in which a city can take advantage of its role as "broker" and secure real funds for municipal programs.

Last year, some 27,000 private foundations in the United States contributed approximately $6.7 billion to local projects and programs. Slightly over three-fourths of this amount was distributed in equal shares to programs in education, health, and general public welfare.

Corporations contributed an additional $5 billion, with more than one-third of this total going to education and an additional one-fourth to health and human services programs. Corporations also make significant contributions in donations of property and products and the loan of company personnel for administrative and program purposes.

As significant as these figures may seem, individual donations, including bequests, totalled slightly over $100 billion in 1989. While about half of this figure consists of relatively small contributions to religious organizations, most major gifts went to educational institutions and programs.

Clearly, private resources represent a vast potential source of funds for local projects, provided city officials can identify such resources and develop a strategy to access them.

An Overview of Private Resources

Private resources can include private foundations, corporate foundations, community foundations, and individuals who make gifts or bequests.

Foundations

Foundations come in all shapes and sizes, from those national (and international) in scope such as the Ford Foundation, with over $5 billion in assets, to a growing number of community foundations, many of which have assets of less than $5 million. Most foundations are independent foundations, making grants for general charitable purposes, including social, educational, religious, and other activities, and supported by an endowment usually provided by an individual, family, or group of individuals.

Decisions on funding may be made by an independent board of directors or trustees, or directly by the donor(s) or a bank or trust officer following the wishes of the donor(s). Most will restrict giving to specific subject areas; almost three out of four will restrict their giving to a specific geographical area, such as a region, state, or specific area within a state. Those with a national scope are less likely to fund local projects, unless the projects are models that can be replicated nationally.

Corporate Foundations

Corporate foundations are legally separate and independent organizations established by profit-making corporations to further the charitable purposes of the corporation. There is generally an endowment established by the corporation, which may also make annual contributions to the foundation from its profits. Grants may be made from either source of funds, with decisions usually made by Boards of Directors, at least some of whom will also be officers or board members of the corporation.

Larger corporate foundations may also provide smaller grants in locations in which the company has operating facilities, with discretion for awarding such grants being held by local company officials. Grants from corporate foundations usually relate in some way to corporate activities (a scientific firm may support engineering scholarships), generally focus on areas where the corporation operates, and are smaller in amount, as a general rule, than those from independent foundations. More than two-thirds of corporate foundations have permanent assets of less than $5 million.

Community Foundations

Community foundations offer a long tradition of home-based grantmaking. Since the first one was founded in Cleveland in 1914, the number of active community foundations in the United States has grown to more than 250 with collective assets of nearly $6 billion. Last year, the top 127 funds made grants of more than $430 million in their local areas.[2]

A community foundation is a tax-exempt organization formed to attract and distribute money for charitable purposes within a given area. These areas include cities, counties, states, and municipal districts. Well over half of the community foundations have assets of less than $5 million.

The foundation is "a supplement to the United Way and other agencies, not their competitor," according to the Council on Foundations.[3] It is governed by a board of area residents knowledgeable of the community's needs. It distributes money as its governing board determines or as designated by donors with specific causes.

There are gaps in the community foundation system. A recent article in the bimonthly *Foundation News*, published by the Council on Foundations, makes the point that of 20,000 incorporated communities in the United States, there are only 350 community foundations. The Council reports that about 100 of these foundations are still in various stages of planning. According to the Council, there are no community foundations in Nevada and Wyoming.

Not surprisingly, the wealthiest foundations are based in large cities. The Council, which publishes a guidebook on starting foundations, states that communities with less than 150,000 people generally cannot support a community foundation. Rural areas, small towns, and suburbs may not have the base of population and wealth needed to support a lasting endowment.[4]

Communities are filling the gaps by starting foundation affiliates. *Foundation News*, citing a report by the Community Foundation for Southeastern Michigan, said 100 foundation affiliates have been created since 1975.[5]

These affiliates have taken three forms: divisions, in which a local committee has advisory powers over a component fund in a larger foundation; supporting organizations, which have partial independence over funds while sharing staff with the existing foundation; and designated fund models allowing a free-standing community foundation to give its endowment to another foundation but to retain discretion over its income.

Corporations

There are more than two million corporations in the United States, and about one-third of them claim charitable contributions on their tax returns in any given year. In recent years, however, corporate contributions have fallen slightly, despite general increases in profits.

Most corporations that do give for local projects will focus on those that somehow improve the population from which the corporation draws its work force and the overall quality of life in the community in which their plants are located. While most corporations make major investments in those com-

How To Start A Community Foundation

1. "Get technical assistance," advises Eugene C. Struckhoff, a senior consultant with the Council on Foundations. A community foundation "is an intricate device and it requires a lot of advanced activity ... like thinking and planning."

2. Community leaders must know that the foundation will be "apolitical and nongovernmental," says Struckhoff. It should seek a partnership with the government and not be dominated by it. "If it's seen as political," he says, "it's dead."

3. Define a geographic area of service for the foundation and identify likely funding sources. As a general rule, Stuckhoff says, it is preferable to have a community with 250,000 people or more.

4. Nail down startup funds and strive to build a permanent asset base of $5 million in five years. In larger communities, the asset base should be $10 million.

The Council on Foundations provides a number of resources to would-be community foundation builders. Upon request, it will send out a "How to Start" packet and publications catalogue free of charge. Also useful is *The Handbook for Community Foundations*, which costs $25. Contact: Council on Foundations, 1828 L Street NW, Washington, D.C. 20036; (202) 466-6512.

munities in which major plants are located, many have small grant programs administered locally by individual plant managers. AT&T, for example has been involved in local efforts concerning child care and care for the elderly.

Corporate contributions generally favor education. "No question about it," says Ed Rodriguez, assistant manager for corporate urban programs at Ford Motor Co., "education is the priority."[6] However, the emphasis on colleges and universities has slipped significantly, from 70 percent of the corporate education dollar to 64 percent, with elementary and secondary schools benefiting. According to the Association of Fund-Raising Counsel (AAFC) in New York, this trend reflects "the corporate world's deepening concern with the capacity of U.S. workers to compete effectively with those of other nations."[7]

The downward trend in corporate giving is only temporary, suggests Virginia A. Hodgkinson, vice president of research for the Independent Sector, a Washington-based coalition of 750 corporate, foundation, and voluntary organizations. "It's not that they don't want to give," she said of corporate grant makers. "Over the long haul, (corporate giving) will turn around as the economy turns around."[8]

This would be a welcome development. Barbara Curry, commissioner of the Division of Family Services for the Lexington-Fayette, Kentucky (population 204,165), Urban County Government, said social services are fast becoming "luxuries the tax dollar doesn't support."

In an effort to meet community needs, Curry said her city's government, mirroring efforts in other cities, is relying on the private sector more than in the past. She said representatives of IBM, Ashland Oil, and local banks serve on the voluntary board that does fund-raising for family services, and corporations have supported community programs.

Individuals

Individual gifts and bequests still comprise the bulk of charitable giving in the United States. Most of the non-religious giving focuses on educational institutions and programs, with additional funds going to health programs and the arts and humanities. City officials are most familiar with individual gifts through giving to the United Way or other community funds. While giving to such funds should be cultivated and encouraged, other forms of contributions should also be sought.

One increasingly popular form of gift is the life insurance policy, with a particular program or organization named as beneficiary. Someone who may annually give to an educational program can be persuaded to purchase a policy which, after the donor is gone, will continue to contribute annually to the same program in perpetuity. Cities are also beginning to look at special events, direct mail, and other types of direct giving campaigns as methods of increasing individual investments in community projects.

Some may question the advisability of creating funding programs that may "compete" with the United Way and other established local giving programs, fearing a "burn-out" level at which donations may ultimately cease. However, the Independent Sector is predicting a "renaissance of philanthropy" with sharp increases in giving and volunteering fueled by the baby boom generation.[9]

The prediction is based on the findings of a recently released Gallup survey conducted in collaboration with the Independent Sector. According to the survey, the greatest growth in contributions was realized by health, human services, and youth development organizations. On the other hand, average contributions to private and community foundations declined by 12 percent.[10]

Non-profit Groups

Many city officials are reluctant to deal with non-profit groups. In the past, many such groups have been formed to advocate political and social causes and often were in a position of fighting City Hall. Others are seen only at budget time, requesting municipal funding for a variety of social and cultural programs. Still, the term "non-profit" encompasses everything from the local economic development agency and housing authority to educational improvement associations.

Local officials should be aware that there may be significant funding opportunities for local programs to be found by working with officials of non-profit organizations. A careful examination of the goals of local non-profits will reveal objectives similar in many respects to those of local government: the improvement in the social, educational, or economic conditions of some segment of the local population.

Non-profits can also sometimes access funds that would not otherwise be available to the city, but nonetheless benefit city residents. Each city's overall funding strategy should include ideas on maximizing the input and funding both to and from non-profit organizations. Chapter Five will explore in more detail the ways in which cities can play a role in helping local non-profits.

Many Avenues to Explore

In summary, then, there are many avenues for local officials to explore to access private funds for families and children. While individual corporate giving may be declining, there does seem to be a trend towards greater cooperation between the private and public sectors, especially around social issues.

Citing the annual report of the Council on Foundations in Washington, AAFC noted a "growing collaboration" in 1989 among foundations with each other and with nonprofit organizations, citizens groups and government.[11] The trend, says Mary K. Leonard of the Council on Foundations, is to "convene people around certain problems and work out collaborative funding."[12]

Leonard, who serves as staff associate for a group of 350 foundations targeting youth in their grantmaking, notes that "people used to like to fund their own projects – that way they controlled the money." That method of funding she says has "gone the way of the dinosaur."[13]

How to Find More

Although private funding sources represent a tremendous untapped resource for cities and towns, they also present a significant challenge in terms of securing funding for local programs. A major investment of time and a significant investment of money may be required merely to gather basic information on funding sources.

The first step in accessing private funding is to determine the potential market for your local programs. To do this, you need to be familiar with publications and other materials that tell where funding can be found and how to get funding.

One of the most comprehensive set of resource materials on foundations and other private funding opportunities is published by the Foundation Center. Established and supported by foundations themselves to provide information on private philanthropic giving, the Center describes itself as a national, nonprofit clearing house for information on foundation and corporate giving.

The Center operates reference collections in New York, San Francisco, Cleveland, and Washington, D.C., and provides research materials to cooperating reference collections operated by various libraries, community foundations, and nonprofit agencies. It has 175 affiliated libraries in the United States and abroad. For information on area libraries, call 1-800-424-9836.

The basic guidebook to foundations published by the Center is *The Foundation Directory*. The thirteenth annual edition should be available in early 1991. This directory lists over 6,500 foundations, giving the name, address and phone number, if any, of each funding source.

Foundations are listed alphabetically by state, with summaries of basic information on the purpose and activities, types of support, giving limitations, and application information for each listing. Officers and directors of each foundation, along with principal donors, are listed, and basic financial data on foundation assets and expenditures is also presented. The paperbound version of the directory costs $140 and the hardbound edition, $165.

A recently published companion volume is the *National Directory of Corporate Giving*, which provides similar information on more than 1,500 companies and corporate foundations. It costs $175. Additional information on publications, including a free catalog, and addresses of the local reference collections can be obtained by contacting the Foundation Center's New York office (The Foundation Center, 79 Fifth Avenue, New York, NY 10003; (212) 620-4230) or Washington, D.C., office (The Foundation Center, 1001 Connecticut Avenue, Washington, DC 20036; (202) 331-1400).

The 1990 *Taft Corporate Giving Directory*, published by The Taft Group of Rockville, Maryland, profiles 500 of the largest (annual contributions of at least $500,000) corporate grant makers in the United States. It lists 109 donors that include "municipalities" in their grantmaking portfolios. However, corporate dollars reach communities through other funding areas involving civil rights, consumer affairs, economic development, environmental affairs, and housing. The Taft Groups also publishes the *Taft Foundation Reporter*, as well as monthly update services for both publications.

The Council on Foundations, based in Washington, is another organization worth looking into. A membership organization comprised of some 1,100 major U.S. grant makers, it represents the interests of foundations to policy makers, the media, and the general public. The Council publishes *Foundation News*, guidebooks on starting foundations, and other informational resources.

The Independent Sector publishes a number of books intended to educate the public about the charitable sector. Part of the group's mission is to attempt to foster the relationship between government and the private sector, and to coordinate interaction between the two.

There are numerous newspapers, newsletters, and magazines focusing on the grantmaking community. Three, however, are especially useful. *The Chronicle of Philanthropy* is published biweekly except the last two weeks in August and last two weeks in December at 1255 23rd Street, NW, Washington, D.C. 20037. Subscription rate, $57.50 per year. *Foundation News* is published bimonthly by the Council on Foundations, Washington, D.C. Telephone, (202) 466-6512. Subscription rate, $29.50 per year. For subscription information, call (215) 547-2541 or write P.O. Box 2029, Langhorne, PA 19047. *Corporate Giving Watch* and *Foundation Giving Watch* are both published monthly by The Taft Group, 12300 Twinbrook Parkway, Suite 450, Rockville, MD 20852. Subscription rate for each is $135 per year. The first bills itself as "News and Ideas For Nonprofit Organizations Seeking Corporate Funds"; the second, "A Monthly Report to Nonprofit Organizations Seeking Foundation Support."

Moreover, there are many other private organizations that publish information on foundation and corporate funding sources and techniques for accessing such sources. While the number of such resources obtained may be limited by financial constraints, researchers should be aware of their existence and perhaps watch for copies in Foundation Center cooperating collections.

What Cities Are Doing with Private Funding

Generally acting as a broker between citizens and the private sector, or as a coordinator of funds and projects, cities and towns have used a variety of funds from private sources. What follows is a sampling of some innovative programs.

How Cities Work with Foundations

The Charles Stewart Mott Foundation, in collaboration with the Brandeis University (MA) Center for Human Resources, is sponsoring a Teen Parent Self-Sufficiency Project in six cities. The network of cities will develop coordinated, community-wide strategies involving employment and training, education, and health and human services to build the skill that teenage parents need to become self-sufficient adults. Teams of senior government and private agency administrators will work together. The six cities are Camden, New Jersey; St. Petersburg, Florida; Oklahoma City, Oklahoma; New Haven, Connecticut; New Orleans, Louisiana; and Indianapolis, Indiana.

In Savannah, Georgia (population 141, 654), the city developed a plan that was funded in 1988 by the Annie E. Casey Foundation to address the problems of at-risk students in the public school system. The city manager spearheaded the effort and now serves on the project oversight collaboration committee. The Casey Foundation is also supporting similar efforts in Little Rock, Arkansas (population 158,915); Dayton, Ohio (population 193,536); Pittsburgh, Pennsylvania (population 423,959); Rochester, New York (population 241,741); and Bridgeport, Connecticut (population 142,546). Contact: Otis S. Johnson, 128 Habersham St., Savannah, GA 31401.

In Hartford, Connecticut (population 136,392), the Hartford Foundation for Public Giving, a community foundation, gave $90,000 to the city of Hartford Office of Human Services for a project to provide health, education, and employment education and counseling for teenage parents. Contact: Hartford Foundation for Public Giving, 85 Gillet St., Hartford, CT 06105; (203) 548-1888.

In New York City (population 7,071,030), the New York Community Trust, the Foundation for Child Development, and the United Way of New York are sponsoring Agenda for Children Tomorrow (ACT). To set the agenda, child-care experts from across the city reviewed more than 50 recent reports on children's issues and categorized their 300 recommendations. In July, New York Mayor David N. Dinkins adopted ACT's recommendations as his own platform on children. Dinkins was quoted in the *Chronicle of Philanthropy* (Oct. 30, 1990) as saying that "ACT will serve as the glue to hold together the partners who provide these services to our people – the wide range of city agencies, the diverse community of nonprofit organizations, and the foundations and concerned private citizens." Contact: Mayor David N. Dinkins, City Hall, New York NY 10007.

In Philadelphia (population 1,688,210), the Pew Charitable Trust awarded a three-year $8.3 million grant to help the public schools restructure their twenty-one comprehensive high schools. "With that money we set up an independent organization that worked closely and in a strategic capacity with the school district," according to Pew spokesperson Deidra Lyngard. Contact: The Pew Charitable Trust.

How Cities Work with Business and Corporate Sources

In Castle Shannon, Pennsylvania (population 10,164), the mayor instituted a drug and alcohol abuse awareness program involving educating kindergarten through high school students as well as parents of those students. The business community has been asked to support a series of educational programs on the subject. Contact: Hon. Thomas P. O'Malley, Mayor, Borough of Castle Shannon, 3800 Willow Ave., Castle Shannon, PA 15234.

How Cities Work with Nonprofit Organizations

In El Segundo, California (population 13,752), the local YMCA sponsors before- and after-school child care at a local elementary school. Contact: Dr. Pat Scott, Executive Director, Centinela Valley YMCA, 319 E. Kelso Street, Inglewood, CA 90301.

Glendale, California (population 139,060), is a member of a non-profit organization that owns and operates an employer-sponsored child care center. Contact: Mr. Jess Duran, City of Glendale, 633 E. Broadway, Room 202, Glendale, CA 91206.

Community Foundation Funds for Local Education

Another example of a city program that involved private resources is the Innovations in Education Fund in Tupelo, Mississippi (population 30,000). In 1988, the City of Tupelo received one of ten national awards for Innovations in State and Local Government, a program sponsored by the Ford Foundation and the Kennedy School of Government at Harvard University. The award recognized the City's "Public/Private Partnerships in Education" initiative, which had generated over $3 million in local funds to support the public school system.

The award included a $100,000 grant, which the city turned over to the local community foundation, CREATE, Inc., to establish the Innovations in

Education Fund, a permanent endowment for the benefit of the public schools. The city's Development Office is now actively pursuing private and other funding to increase the asset base of the endowment, which now stands at $140,000. The additional $40,000 was a private gift from an individual.

Income from the fund is now being used to provide forgivable educational loans for local high school graduates entering the teaching profession and returning to teach in the Tupelo Public Schools. For more information, contact: William D. Parham, Executive Director, CREATE, Inc., Post Office Box 1053, Tupelo, MS 38802.

Individual Donation for Children's Trust Fund

The city of Jacksonville, Florida (population 540,898), looking for innovative ways to support children's services, has established a Children's Trust Fund combining both government and community resources.

"We found out that people wouldn't give to the city because we were governmental," said Camilla Sims-Stambaugh, chief of the Child Services Division. But, "I see government having a role here," she added. "We can do some things better because we're centralized."

The tax-exempt fund was established by city ordinance in 1987 with the purpose of "...operating, maintaining and improving the Child Services Program." It was launched with $25,000 donated by singer Pearl Bailey from the proceeds of a concert. It now has assets of $90,000, and guidelines are being developed to begin grantmaking once the fund reaches $100,000. Sims-Stambaugh said money is raised through joint sponsorship of "The Nutcracker" with the Jacksonville Symphony, and through a child care referral service.

Under the ordinance, the city's director of finance was authorized to make disbursements from the fund upon written requisition of the director of child services. In recent months, however, Sims-Stambaugh said, a procedure has been adopted allowing the Mayor's Commission on Children and Youth to approve disbursements.

The commission is a twenty-five member board, with twenty members serving at large. The remaining five members represent the Duval County School Board, county medical society, Jacksonville Bar Association, sheriff's office, and the state Department of Health and Rehabilitative Services.

Sims-Stambaugh said there are five task forces on health, welfare, child care, delinquency prevention, and alcohol, drug abuse and mental health. In all, about 200 people are involved, making for a "nice tie-in" of city and community resources. The fund is planning a $10,000 grant to the Cities in Schools project, which supports tutoring, mentoring and other services in Jacksonville schools. Contact: Camilla Sims-Stambaugh, Chief, Child Services Division, Human Services Department, 421 W. Church St., Jacksonville, FL 32202; (904) 630-3647.

Foundation Funds for Local Neighborhood Program

John G. Hayes, director of special programs for the Charlotte, North Carolina (population 315,474), Housing Authority, said that in the early 1980s his agency was having "very poor luck" in locating funding sources to replace a federally funded public housing and crime prevention program.

But in 1984, North Carolina's independent Z. Smith Reynolds Foundation kicked in $50,000, with the city of Charlotte and Mecklenberg County contributing like amounts, to establish the Safe Neighborhood Awareness Program.

The safe neighborhood program, employing ten residents, provides security, victim assistance, and drug and alcohol abuse prevention for the six largest public housing developments in Charlotte, which are home to 2,400 families. The city has maintained the program since 1984, increasing its annual appropriation to $140,000.

Hayes said foundations traditionally have been reluctant to fund public sector agencies in the belief that cities have the ability to tax and "they can take care of these problems." Though there still is some resistance "and rightfully so," he added, grant makers realize that cities are increasingly restricted in responding to social needs.

Joseph Kilpatrick, assistant director of the Z. Smith Reynolds Foundation, said the foundation emphasizes private, nonprofit agencies in its grantmaking. But he said it is "comfortable" making grants to units of government "when the program appears to be outstanding and (when) there are compelling circumstances that public funds are not available." Kilpatrick confirmed that a "persistent bias" exists among foundations when it comes to subsidizing governmental services. But he said there are notable exceptions to this bias in the areas of public housing, early childhood education, after-school programs, and teacher training.

Though he was reluctant to name a trend, Kilpatrick said foundations are gravitating toward cooperative efforts as a consequence of the past decade, when federal funding to municipalities was cut back and social needs intensified. "There's a willingness to try new things," he said. "The simplistic notion that the private sector can fill in the gaps is just plain wrong."

The Z. Smith Reynolds Foundation has begun its own effort to forge a public-private partnership in the area of human services. Next year, it will award $1 million to each of as many as five North Carolina counties through the Opportunities for Families Fund. The program requires that counties reorganize their delivery of services with the goal of helping families become self-sufficient. Up to fifteen counties will receive $20,000 initial planning grants prior to the final awards. Contact: John G. Hayes, Director of Special Programs, Charlotte Housing Authority, P.O. Box 36795, Charlotte, NC 28236; (704)

332-0051; or contact: Joseph Kilpatrick, Assistant Director, Z. Smith Reynolds Foundation, 101 Reynolda Village, Winston-Salem, NC 27106; (919) 725-7541.

Community Foundation and Substance Abuse Programs

The relationship between cities and foundations can be a two-way street. In September of 1989, Columbus, Ohio (population 565,032), Mayor Dana G. Rinehart went to the airwaves to discuss the drug problem. During a thirty-minute televised address, he called on residents to make donations to the Columbus Foundation specifically for substance-abuse programs. Since that call, the foundation has received more than $100,000 for this purpose.

"It came in tens and twenties, and in some cases, thousands of dollars," recalled Jack Butler, the city's drug policy coordinator. "It was pretty gratifying."

The resulting Drug Education Fund is being administered by the foundation with oversight by a voluntary board. It has made possible two separate funding cycles. Butler said the first one, already completed, provided eight grants averaging $4,000 to grassroots organizations focusing on drug education.

The Columbus Foundation is one of the top ten community foundations in the country in terms of total assets. Among other efforts, it has supported the Neighborhood Housing Partnership, a low-income housing program, with $100,000 annually over three years. It supports "I Know I Can," a program providing counseling and scholarships to students in Columbus public schools, and "Health Check," a health screening clinic in malls, churches, and other public places.

What the foundation will not do, said Vice President Tullia Hamilton, is supplement the city's budget or take over functions normally performed by the city. "We are not going to pay garbage workers or police salaries," she said. Contact: Jack Butler, Drug Policy Coordinator, Mayor's Office, 90 West Broad St., Columbus, OH 43215; (614) 645-7671 or Tullia Hamilton, Vice President, The Columbus Foundation, 1234 East Broad St., Columbus, OH 43205; 614/251-4000.

Endowment Funds for New Community Foundations

Seeking to create "a legacy of self-reliance" in its home state, the Lilly Endowment of Indianapolis, Indiana, has committed $47 million over the next fifteen years to help Indiana communities establish or strengthen community foundations.

Announced in July 1990, the GIFT program (Giving Indiana Funds for Tomorrow) has been described by *Foundation News* as the largest, longest-term community foundation grant program ever announced. It endeavors to create at least twenty new foundations, each having endowments of $5 million. That would nearly double the number of community foundations already operating in Indiana.

The program is based on the realization that in cities large and small, "There are people who have means and (who) in many cases have made no charitable provisions," said Charles A. Johnson, vice president of development for the endowment. "They are interested in their communities ... only they lack a vehicle" to help.

Johnson said community foundations can be an important player in community development. "They are uniquely situated to act as a convener to bring together diverse groups or as a facilitator," of new projects, he said. "They can do more than just receive and spend money."

The program will provide technical assistance to groups interested in forming foundations and to community foundations already established. It will provide three types of matching grants designed to help foundations build their asset bases, to subsidize their general operating costs, and to fund specific community projects.

In mid-October, Johnson said 170 communities had contacted the endowment about aspects of the program. Indiana has about twenty-five operating community foundations. Contact: Charles A. Johnson, Vice President, Development, Lilly Endowment, P.O. Box 88068, Indianapolis, IN 46208; (317) 924-5471.

Nonprofit Foundation Funds for Community Needs

The city of Brea, California, (population 27,913) has established its own nonprofit foundation to help meet community needs. Since it was given life by the city council in 1982, the Brea Foundation has accumulated assets of between $2 and $3 million, and is making annual grants totaling up to $100,000, according to Executive Director Wade Mansur.

"After Proposition 13, everything dried up," Mansur said, recalling the 1978 California law that limits property taxes. "It was necessary to find new ways to fund services. This [foundation] was an idea that was proposed and has worked out well."

The foundation was organized under California's Nonprofit Public Benefit Corporation Law, which exempts it from state tax. It is exempted from federal tax under section 501(c)(3) of the Internal Revenue Code. Its bylaws provide for a seven-member board of directors with five members appointed by the city council and two by the mayor. The two mayoral appointees are city council members.

Mansur said the foundation targets the cultural arts, human services, and youth in its grantmaking. Last year, it awarded the city's Community Services

Department sixteen grants totaling $62,160 for programs geared toward children, the elderly, and families.

One way it generates money is by leasing property it has obtained rights to, including old city buildings and two acres of land at the Brea Mall donated to the foundation as part of a court settlement. The foundation also sponsors a black-tie annual fund-raiser known as "A Night of Music," as well as other events. Contact: Wade Mansur, Executive Director, The Brea Foundation, 180 Olinda Drive, Brea, CA 92621; (714) 255-1317.

Corporation Involvement in Children's Needs

The Honeywell Corporation is a major player in team efforts benefiting families and children in Minneapolis, Minnesota, (population 370,951). The company's support reflects "our overall interest in early childhood development and education improvement," said Richard Green, director of community programs. "We've concerned ourselves with the plight of children as the future of the country." Green said charitable causes are funded both by the company directly and through the Honeywell Foundation.

The manufacturer of electronic controls has joined the United Way and city, county, and corporate sponsors in launching the Way to Grow program targeting disadvantaged children through age six. Way to Grow is a program of the Minneapolis Youth Coordinating Board, a public-private collaboration. It has its own management board, chaired by Mayor Donald M. Fraser, which also includes James Renier, Honeywell's chief executive officer. The program seeks to coordinate early childhood services in each of eleven communities throughout the city, creating one-stop "community service cooperatives" that will help parents assess the needs of their children and the services available to them.

Mary Taylor, executive director of Way to Grow, said Honeywell funded a large part of the first project begun in the Phillips community, known for high rates of low birth weight and infant mortality. The year-old project, named Phillips Tender Loving Care, has made available prenatal assistance to more than 200 families.

"Our goal is to build on the existing services, not to start new ones," said Taylor. "The lessons learned in Phillips will be brought to the other communities." Taylor said Honeywell, in addition to giving financial support, is serving as a corporate "role model" drawing other businesses to sponsor Way to Grow projects.

The corporation has also worked in partnership with Minneapolis public schools to open a high school for teenage mothers at its corporate headquarters. According to Green, the company remodeled a 6,000-square-foot section of its headquarters to house New Vistas, a high school program for up to thirty teenage mothers. The section has a day care center, kitchen, medical clinic, counseling office, computer center, and classroom. Staff and curriculum are provided by the Minneapolis public school system. Contact: Richard Green, Director of Community Programs, Corporate Community Programs, MM12-5131, The Honeywell Corp., 2701 4th Avenue South, Minneapolis, MN 55408; (612) 870-6123; or contact: Mary Taylor, Director, Way to Grow, 4240 4th Avenue South, Room 422, Minneapolis, MN 55409; (612) 823-1162.

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11. Weber, p. 54.
12. Mary K. Leonard, Staff Associate, Grantmakers for Children and Youth, Council on Foundations, Telephone interview, October 1990.
13. *Ibid.*

CHAPTER FIVE

MUNICIPAL RESOURCES AND CUSTOMER SATISFACTION

By Carolyn Grose and Barbara Thornton

As we saw in Chapters Two, Three, and Four, the 1980s were a time when Washington pulled out of local fiscal affairs, gave state governments more control, and reduced local fiscal autonomy. What has that meant for local officials?

> "Local officials have also had to be more innovative in finding alternatives to federal financial assistance. It was logical for them to strengthen national-local ties in the 1970s. Now local officials must nurture stronger ties to their state, an arrangement that is producing new patterns of state-local relations. Where state assistance has been laggard, however, local officials have had to fend for themselves. Among their approaches have been public-private partnerships and increased use of pay-as-you-go approaches such as user fees, tax districts and revenue bonds."[1]

For the most part, these new approaches and innovative alternatives have been successful. In particular, we have seen that city officials care about the problems of families and children in their cities. According to responses to NLC's survey on the state of children and families in cities, city hall professional staff and elected city officials are seen as real insiders and key players in "bringing child and family issues to the forefront of city hall attention."[2]

The survey analysis goes on to point out, as did Carol Bellamy earlier on in this guide, that

> "the first point of contact for families and children in need is often at the local level – a policeman, a parks and recreation worker, a city health department nurse. Whether through direct service delivery or provision of financial or in-kind support to other entities, America's city halls are involved in some fashion in virtually all areas that affect families and children."[3]

It is all too common, however, for municipal officials to think that their only resource is the increasingly scarce discretionary revenue described in the previous chapters, and that their human services goal is the delivery of specialty services to certain dysfunctional target populations. In the following chapters, we will examine ways in which municipalities can tap into their own resources to meet the growing human service needs of their citizens, especially families and children.

Human services are good for everybody, and good human services delivery improves the value of municipal government services in general. Good leadership and teamwork among all department heads and human services staff can add a lot of value to the municipality's services.

The U.S. economy is rapidly becoming a service-based economy. Major corporations offer food, leisure services, health care, insurance, banking, and other services. These service businesses compete for the customer's dollar by providing perceived value at a cost-effective rate. If the customers don't perceive value for the services, they will go to another service provider or not use the service.

Municipalities are also service providers. They offer a wide variety of services to their residents. In this mobile society, residents who are not satisfied with the services literally go to another service provider – they move out of town. Or they do not use the service; instead they advocate limitations on the property tax.

Satisfied customers of service organizations spend more money on those services, according to Harvard Business School professors Leonard A. Schlesinger and James Heskett.[4] In an era of "downsizing," "restructuring," and property tax revolt, smart municipal leaders pay close attention to exactly what satisfies their "customers." Good service means satisfied customers, and satisfied customers are the best defense against budget cuts.

To maintain customer satisfaction, the entire city government – from Auditing to Youth Services – must work together as a team to create strategies for improving the lives of residents. Improving the lives of residents is what human services is all about. Human services professionals have a lot to offer other departments. In return, those departments add a human services dimension to their traditional services. Good human services delivery is made possible by effective collaboration among all municipal departments, not just by operating a human services department.

In order to retain its two types of customers – **residents who need services** and **taxpayers** – and keep them satisfied, the municipality must offer a reasonable array of the services residents want at a price they consider to be fair. Human services are not some extra program a municipality has the option of offering. They are a key example of "adding value" to traditional services in order to satisfy customers/residents by improving their quality of life.[5]

Unfortunately, since the "war on poverty" in the late 1960s, human services have been stereotyped as those services for society's disadvantaged, handicapped, or impoverished. They are more properly defined as those services that enrich people's lives, enabling them to participate more fully and productively in their family, work, and community. Good human services delivery by municipal government increases the satisfaction of both the taxpayer and the resident needing services.

Residents in need of services want access to appropriate services that help resolve or prevent a particular problem. This customer does not necessarily expect the municipal government to solve the problem directly. Value is added to municipal services from this customer's perspective when the municipality is involved in arranging or encouraging a solution to the problem.

Each municipal department can find many ways to add value to the services it provides, at no additional cost. A new family in town might call the city hall for information on child care providers. This isn't a municipal responsibility. But the family will value city government services much more if the switchboard operator connects them to a staff person who can give them a list of child care providers as well as a list of city-sponsored children's library programs and recreation programs.

What Are Human Services?

There has to be some agreement on the definition of human services. The Seattle, Washington (population 493,846) City Council adopted the following in 1986:

> "Human services are those public services which are provided to individuals or families to meet basic human needs: for physical survival (e.g. food, shelter, clothing, acute/emergent medical care, maintenance of minimum income); for adequate preparation for and help in sustaining gainful employment (e.g. employment and training programs, child day care); for social support and interaction, including preventive services (e.g. child abuse prevention), services to help in times of personal or family crisis (e.g. social services, counseling), and services to help people remain independent; for prevention and treatment of illness and injury (e.g. preventive and restorative health, medical and dental care, mental health services, and substance abuse programs); and for help in gaining access to available, appropriate services (e.g. transportation, information, interpretation, and referral services)."

Police and housing inspectors can add value to their services by noting, when they make a house call, whether some social service intervention would be helpful. More than 50 percent of the calls to most police departments are "family troubles" calls. In Quincy, Massachusetts (population 84,743) the police refer, within twenty-four hours, all domestic violence calls to D.O.V.E., a nonprofit intervention, mediation, and counseling agency. If appropriate, referrals are also made to the state's Department of Social Services. Contact: Lt. Thomas Frane, Quincy Police Department, c/o City Hall, 1305 Hancock St., Quincy MA 02169; (617) 479-1212.

Taxpayers want efficiently delivered services that ensure the health and safety of their and their families' lives. Health and safety have a different meaning in the 1990s than in the period when many municipal charters and organization structures were originally developed. There are many ways to add the perception of value to municipal operations and make these taxpayer/customers more satisfied.

Taxpayers perceive they are getting value for their money when government services respond directly to concerns in their lives. Health departments originally emerged in response to diseases like tuberculosis and sanitation problems from open sewers. Taxpayers today are interested in health care for infants and the elderly. They are concerned about Acquired Immune Deficiency Syndrome (AIDS) and substance abuse. They are concerned about personal health issues like diet, stress, and exercise. They are interested in environmental issues like recycling. To satisfy the taxpayer/customer needs of the 1990s, health departments should respond to these concerns.

As we saw in earlier chapters, because municipalities are the level of general purpose government closest to the citizens, they are in an excellent position to act as a broker among levels of government, and between the private, the non-profit, and the philanthropic sectors and the citizen. What we will examine now are ways in which the municipality itself can add to the satisfaction of its customers.

In addition to actual funds for human services programs, leadership, departmental resources, and regulatory authority are potentially available in every municipality. Here are some suggestions for how these resources can increase the value to citizens of municipal government services.

Code Enforcement

Almost every municipality is responsible for enforcing three kinds of regulations that directly relate to the health and well-being of the community's citizens: the building code, the housing code, and the health code.

Building code issues refer to the structure of a building; its construction; its electrical, heating and plumbing systems; its fire resistance; and other factors.

Building codes shape the structures used for day care centers, for community residences for the mentally ill and retarded, for schools, and for many other human services program uses. The most commonly used building code, the B.O.C.A. code, is available nationally, regularly updated, and adopted at the option of each state. If a state does not require this standard, an individual municipality may adopt this or a comparable building code.

Municipalities use the standards set in the building code to inspect all buildings. Buildings may be inspected when they are under construction or under renovation or when there is a significant change in the use of the building. In some instances, non-profit agencies interpret this inspection process as harassment. But if it is properly done, the inspection not only helps prevent the provider from incurring liability for injured clients, but it also can help the provider improve the standard of human services. For example, many fire departments inspect for fire resistance and exit ability of clients in community residences for the mentally retarded. These firefighters may also offer first aid and fire drill training to the clients.

The housing code is different from the building code. The housing code attempts to ensure a safe and decent standard of habitation for all residences. It sets standards for occupancy, heat, water availability, working toilets, and kitchen facilities. Housing inspectors are much more likely than building inspectors to visit an occupied home. Like police officers, they may be the first public service agents to detect serious social services needs such as illness, child abuse, or poverty. They can be vitally important links between citizens needing services and service providers.

A community's health code is similar to its housing code. In many communities the two functions may be combined. Health inspectors are concerned about the public health factors in the environment of a building, neighborhood, and city. They inspect for rats and roaches, garbage and trash disposal, food service establishment practices, public swimming pools, and the like. These inspectors may also be the first to see serious social services problems.

Zoning and Master Planning

Zoning is one of the most significant powers of government, and it is vested at the municipal level. Case law in the United States has granted municipalities these powers solely based on the justification that it is the formal responsibility of municipal government to uphold the health and well-being of the population. Recent case law has reinforced this role by limiting zoning powers to only that which can be demonstrated as protecting the community's health and well-being.

Traditionally, communities have a zoning administrator – a staff function – and a zoning commission – a citizen board – to develop and enforce the zoning. Zoning powers regulate the height, density, setbacks, and use of a piece of property. The zoning law is represented in a written zoning code and an accompanying map of the community which shows the various zones. The community's zoning law has the power to render a given parcel as permanent open space or available for a fifty-story skyscraper.

Because these powers are so large and their potential abuse so serious, recent case law has reinforced the importance of limiting zoning to maintain its original purpose. A community must be able to defend its zoning law by demonstrating a connection between the zoning and how it protects the public health and well-being.

There are many examples of how zoning can directly affect human services programs, as well as how it can contribute to the overall quality of life in a community. Some zoning has attempted with varying degrees of success to restrict family day care homes or child care centers, community residential facilities, and other human services programs to certain parts of town. These kinds of zoning restrictions on special programs may be expensive to fight for human services providers, but the trend over the last fifteen years has been in favor of the providers.

There is another, much more pervasive impact zoning has on the quality of life and the access to human services in a community. Much zoning in the United States is based on a postwar suburban model of separating different uses:[6] all residential uses go in one part of town, all commercial uses in another, and all industrial uses in a third.

This zoning pattern isolates women who do not work; makes it difficult for those who do not drive cars, including women, adolescents, and the elderly, to get to services; and leaves large parts of the community empty during the day when the majority of men and women go to work "downtown". Transportation is frequently identified as a major human services issues. Our antiquated system of zoning helps make it so.

Recent court decisions gave notice that a community's zoning must be defensible. One of the best and most common ways of making sure the zoning accurately reflects the needs of the community for maintaining public health and well-being is the preparation of a master plan.

Ironically, although part of the justification for zoning is the public health and well-being, traditional master plans have rarely looked at health and human services issues. Instead, the plans include chapters or "elements" on population growth, sewer and water, roads, land use, open space, and maybe, housing. Because of the recent Supreme Court decisions, and because the last cycle of master planning in this country petered out about twenty years ago, many communities are beginning now to update these plans.

The master plan process not only enables the municipality to gather data and make plans relevant for human services, but it also puts the human services issues into a broader context of community service needs and exposes the issues

Check List for Action

This checklist can help you see how your municipality stands. Are you doing all you can to strengthen the community's human service system? What changes do you need to make?

KEY:

A taking full advantage, full compliance
B need to explore this more fully
C don't understand the concept
D need improved management practices to make this work
E need improved planning practices to make this work
F need a change in the organizational structure to make this work
G need a shared vision among key decision makers to make this work

Mark the most applicable letter next to each suggestion:

1. Description of your municipality's "customer" profile
2. Description of each customer's service needs
3. Use of impact fees
4. Use of enterprise funds
5. Use of incentive zoning
6. Access to state discretionary funds
7. Use of capital plan
8. Use of municipal bond funds for human services facilities
9. Use of existing municipal buildings for human services
10. Use of formal scope of services in contracts with providers
11. Rental agreements between municipality and providers
12. Human services goals on each department's annual budget
13. Assessment of zoning practices
14. Updated human services master plan
15. Training of inspectors about community services
16. Intergovernmental vertical coordination
17. Intergovernmental horizontal coordination
18. Intergovernmental internal coordination
19. Public-Private partnerships with business
20. Measurable indicators of success included in all program plans

SCORING:

15 or more As:	Call NLC: you're a national model.
10 or more Bs:	Give yourself a year of planning time.
10 or more Cs:	Seek technical assistance.
5 or more Ds:	Cultivate a good working relationship with your municipal CEO and finance officer to approach these suggestions.
5 or more Es:	Cultivate a good working relationship with your municipal CEO, planning director, and personnel director to approach these suggestions.
5 or more Fs:	Get the CEO on your team.
5 or more Gs:	Do you have interdepartmental staff meetings? If so, change the format; if not, start them.

and choices to a broad spectrum of citizen review, discussion, and consensus building. When Lincoln, Nebraska, recently undertook a new master plan, Garner Stoll, the city's planning director, added human services advocates and providers to the core team of citizens overseeing the master plan process along with business leaders, environmentalists, neighborhood representatives, and

Self-Assessment Tool

Are local officials getting the most from their governmental structure? Follow these steps to find out:

A. Gather all state laws, regulations, and municipal ordinances which relate to the personal health and well-being of children, youth, families and elderly. Such as

1. Rights and responsibilities of elder affairs commissioners
2. Responsibilities and certification of Fire Department emergency medical technicians
3. Responsibility of public health department for inoculations, well baby clinics, health education, etc.

B. Check for conformance with the regulations, etc., in the municipality

C. Ask the chief executive and chief legislative officers:

1. Does the definition of human services on page 61 make sense?
2. How would a definition for your municipality be different?
3. Do you see "human services" as:
    - a. part of municipal government's overall responsibility, or
    - b. the responsibility of one particular department?
4. If (a), what is the municipality's human services mission?
5. If (b), which department?

D. Ask each department head:

1. What is your total budget?
2. What percentage of your budget supports activities comparable to the human services definition?
3. What is the mission of your department in relation to human services?
4. What special programs or notable services do you offer?
5. What interferes with your ability to carry out your responsibilities and/or your mission in human services?
6. What policy changes, regulatory changes, and/or statutory changes would help you better achieve your mission?

E. Ask citizens (via focus groups or key informant interviews)

1. Do expenditures on city services fairly represent your interest, as well as those of other citizens?
2. Do you believe municipal officials listen and respond to the interests, concerns and needs of the community?
3. What are the key problems facing residents in this community?
4. What are the root causes of these problems?
5. How might municipal government's resources be used to address these problems?

other government officials. Contact: Garner Stoll, Planning Director, Lincoln NE; (402) 471-7491.

City Using Its Resources Collaboratively

The Thornton, Colorado, Police Resource Office provides a good example of collaborative use of a city's resources. Two Thornton police officers are assigned to full time duty in public schools, one for each of the city's major school districts. The city pays half of their salaries; the school district, the other half. Their duties include campus crime prevention and investigation; school security; curbing gang activity in the community; and presenting educational programs on drugs and alcohol, gangs, truancy, and law. Officers in the Police Resource Office program were chosen after being interviewed by a group of city and school officials.

One aim of the program is to build better relationships between police and students. Because the presence of uniformed police officers in schools can be read as a sign of problems, the program required an effective public relations effort to make sure it was understood as a symbol of a partnership emphasizing prevention. For more information, contact: Margaret W. Carpenter, Mayor, 9500 Civic Center Drive, Thornton, CO 80229.

Leadership and Teamwork

There are some obstacles to the effective use of these municipal resources. As we will see in the next chapter, finances are tight. But there are some basic steps a municipality must take in order to make fuller use of its many human services resources.

First, the leaders in the municipal government must be committed to the concept of improving their constituents' satisfaction with municipal services.[7] All the key players with a capacity to veto any human services planning must be involved in designing an assessment and planning process.

Second, the process must be guided by a clear set of agreed upon performance requirements including:

- 1. Customer/citizen service goals
- 2. Cost parameters
- 3. Management capacity
- 4. Indicators of success

Third, the key players must share a vision of what a good human services system will look like.

Fourth, municipal staff in every department must "buy in" to the collaborative process of discovering and implementing customer services.

And finally, there should be consensus on who will be responsible for which actions in order to move to a more effective service system.

NOTES

1. Robert D. Thomas, "National-Local Relations and the City's Dilemma," *ANNALS*, AAPSS, 509, May, 1990; p. 116
2. *Op cit*, p. vii.
3. *Ibid*, p. 33.
4. Leonard A. Schlesinger and James Heskett, "Breaking the Cycle of Failure in Services," *Sloan Management Review*, Winter 1990-91.
5. Tom Peters, *Thriving on Chaos, Handbook for a Management Revolution,* Harper and Row, 1987.
6. For more information: Tony Hiss, *The Experience of Place,* Alfred A. Knopf, 1980 and Andres Duany, "Repent, Ye Sinners, Repent," *Planning,* American Planning Association, August, 1989.
7. Warren Bennis and Bart Nanus, *Leaders: The Strategies for Taking Charge, Four Keys to Effective Leadership,* Harper and Row, New York, 1985.

CHAPTER SIX

MUNICIPAL RESOURCES: LOCAL FUNDS

By Carolyn Grose and Barbara Thornton

> "Children and families are bearing the brunt of homelessness, hunger, drug and child abuse and basic poverty. The city struggles to address these concerns at a time of limited economic growth and limited ability to generate new revenues." (Tacoma, Washington)[1]

In the last chapter, we examined regulations and policies that municipalities can use to increase their ability to delivery human services. What about local funds for human services? Despite the concerns of local officials like the one quoted above, the situation is not as dire as it seems. In this chapter we will see why.

As Dorothy discovered in "The Wizard of Oz," the solution to her problems lay right at her feet all the time. The most cash-strapped municipal government has significant resources available to help carry out its role in a human services delivery system. A municipal government has money, facilities, and personnel. Even if all of these resources are already committed, a review of how they are used can result in a substantial improvement in the citizen's perception of the municipality and the community's human services system.

Money

There are two ways to use a municipality's money to improve human services without increasing the burden on the taxpayers. One is to make better use of the money being spent by planning and reorganizing current expenditures. The other is to develop new revenue sources.

Municipalities often spend money, as part of their budget, to buy services from private or non-profit vendors. A health department frequently contracts with a Visiting Nurses' Association to provide some of the personal health services required of the municipality under local and state law. A youth commission may contract with a Mental Health Association. The municipality can add a lot of value to the services it contracts for without going beyond the current expenditure by developing a more detailed "scope of services" in the contract.

The scope of services should go beyond the dollar per hour rate and the amount of hours being purchased. It should define how the vendor will be supervised, what the schedule of services should be, whether there are any special populations or locations where services should be targeted, what other municipal departments and community agencies should be conferred with, what performance data will be required, and whether there are special time concerns or events that should guide the vendor's delivery of services.

The use of this kind of a contract can benefit the vendor, because the expectations are clearly spelled out, and the community, because the services are less fragmented and more effectively woven into the service delivery network. It does not require more money from the municipality. It does, however, require that the contract administrator for the municipality take the time to think through the objectives of the services being purchased:

- How can this service be more useful to the citizens?
- How can this service be more useful to other municipal departments and community agencies?
- Are the downtown merchants planning a community event? Some of the nurses' hours from a contract with the Visiting Nurses Association could be reserved to staff a community health screening and education booth.
- Does the police department know how to handle runaway kids? Some of the child psychologist's time from a contract with the Mental Health Clinic could go for a workshop on youth issues with the police, improving the quality of police services in the community.

In addition to contracting out for services, municipal governments can and do spend money directly on programs for children and families. Later on in this chapter, we will examine the various departments and staff within city government that offer these services.

Revenues

Operating revenue for municipalities usually comes from three primary sources – property tax revenue, sales tax revenue, and state financial aid. This revenue goes into the general fund and is not earmarked for specific services or programs. It is used to support the budgets submitted by the department heads and chief executive of the municipality and approved by the council, selectmen, or legislative branch.

Service Fees

Municipalities are turning to fees to offset the rising cost of government. Service fees cannot exceed the cost to the municipality of delivering the service, but they can shift the cost of a service from the city to the users of the service, allowing the municipality to redirect some tax revenue to new or expanded services that cannot be supported by fees.

The health department in the city of Lawrence, Massachusetts (population 63,175), sought to offset the growing cost of rubbish removal enforcement. Garbage left out too long or improperly disposed of is a serious health hazard in an urban area. The city was allowed to give tickets to offenders, but the ticket amount could not exceed the cost to the city of its enforcement service.

The ticket money was returned to the city's general fund, not to the health department. At budget time, however, the health department can show that it can bring in revenue to support one part of its operations, and release general fund money to expand its well-baby clinics without asking for new tax revenue funds. The service fee, in this case a ticketing process, does not cost the municipality more money. The city does need, however, some kind of cost accounting system within the municipality to determine the cost of the ticketing and enforcement service.

Impact Fees

Impact fees are used in many states around the country to anticipate and offset the cost of necessary government services resulting from private sector investments that cause population growth spurts. Some communities in Maryland, Florida, and other states have developed sophisticated formulas to determine how much money or in-kind contribution a private developer must make for adding a significant amount of new commercial or residential building to the area. Most of the examples focus on public works costs. If, for example, a developer adds a 700-unit subdivision to a small rural community, impact fees require the developer to contribute to the building of the new street.

As the concept of impact fees becomes more accepted, municipalities are looking beyond the public works and road building costs of private investment to better understand other ways private investment can increase the cost of public services. Anticipating the costs of growth for public services and asking the private investors to share some of the burden of those public costs brings more revenue to the municipality. It can save the municipality money or free tax revenue for human services uses.

Enterprise Fees

Municipal golf courses are one of the fastest growing examples of enterprise funds, and another revenue source. Municipalities with a golf course or access to land to build one are finding they can compete successfully with private golf courses, charge fees, and make money for the recreation department. Other recreation programs, such as after-school activities for children in a low-income neighborhood, can be expanded without increasing the department's draw on tax revenue money because a portion of the department's operating costs are paid for by fees generated from golf. These fees do not go into the general fund but are contributed to an enterprise fund specifically for the revenues and expenditures associated with the golf course.

Facilities

Social workers and human services advocates focus on the cost of personnel in delivering human services and frequently overlook the cost of facilities in making sure these services work and are accessible to the people who need them. Facilities include the land, buildings, and vehicles required to support the provision of services. The cost of facilities commonly ranges from 10 to 40 percent of the cost of a program, enough to break the program if the costs are not anticipated and controlled.

During the late 1960s and early 1970s when community-based non-profit human services agencies were just beginning to expand, they survived from day to day with charitable contributions of church basement space or otherwise vacant storefronts. These provider agencies have proved their value and grown much more sophisticated. They are a permanent and important part of a community's human services delivery system. Having survived the startup struggles of the seventies and the cutbacks of the eighties, they are learning improved management and budgeting procedures to carry them into the future.

One of the first lessons these agencies learn is to plan for the space and equipment they will need at the lowest and most predictable cost. But few non-profits have the equity or the financial leverage to own their own facilities. Municipal government, one of the biggest property owners in any community, can be very helpful to these community-based, non-profit human services provider agencies.

Every municipality plans a variety of facilities to serve its neighborhoods. These facilities include police stations, fire stations, libraries, schools, and recreation facilities. In addition, municipal governments have office space for their main administrative functions and public works yards for storing their materials and heavy equipment. When municipalities look beyond their own needs to ask what combination of uses will best serve the neighborhood's citizens, the outcome of the construction project can yield many new and creative combinations of service.

Lincoln, Nebraska (population 171,932), combines a school, after-school child care program, a senior center, the school play yard, and a community park on the same site. West Roxbury, a Boston, Massachusetts (population 610,000), neighborhood, combines a neighborhood police station and a community meeting room.

The cost of borrowing money is a significant portion of the cost of building or acquiring a facility. Municipalities that anticipate the variety of human services needs in a community and plan for the facilities that might be required to deliver these services can make a major contribution to human services delivery. The city of New Britain, Connecticut (population 73,840), went to the bond market to borrow money for the construction of a new city hall. The city borrowed enough money to be able to pass through a below-market loan for the YMCA to build a new day care center in the downtown.

A warning note: If you are interested in using tax-exempt bonds to raise money to help local human service providers, check the restrictions of tax-free bonds. The 1986 tax law included a provision, despite the lobbying efforts of NLC and other organizations, that places restrictions on how much of the proceeds from a tax-free bond can be made available to any one other than the borrower. Violation of these restrictions can result in draconian sanctions.

Human services providers often overlook the importance of well-located, appropriately constructed facilities in the composition of a human services delivery system. The municipality has the capacity to raise construction and acquisition funds at below-market rates and pass these rates on to non-profit providers. The municipality has a regular mechanism, its capital planning process, that can be used to determine the future human services facility needs of the community. The municipality also has a variety of ways to control properties, including reuse of currently owned buildings, taking title through foreclosure for property tax payment defaults, purchase of land for future use, and covenants, easements or deed restrictions on property.

Staff

Somewhere during the evolution of human services programs, people began to think of human services as some extra service not necessarily connected to the regular process of government. Nothing could be further from the truth, although the strange language spawned by federal and state entitlement programs makes the misunderstanding forgivable. Of the three categories of "internal" resources available to develop a strong human services system, municipal staff may offer the most potential.

No matter how small the town or how "non-human services" related the department, there is always going to be some way that the staff can add value to the municipal services by paying attention to the needs of the two categories of municipal government customers: taxpayers and residents needing services.

There are two ways all municipal employees can contribute to strengthening human services. First, they are a source of information, both sharing knowledge with residents about available human services in the community and directing specialized human services programs to residents with special needs. Second, they can add value to the quality of life of the community's residents by the way they perform their jobs, the care they take in doing well, and the tone they set when they come in contact with the public.

In addition to the general human services roles staff play, there are some very specific roles that deserve to be highlighted and more fully developed. Most municipalities with populations over about 7,500 have eleven or twelve human-services-related municipal departments that can address the needs of families

Children and Family Related Municipal Departments

1. Finance, Budget Office (levying taxes, setting performance goals, coordinating departments' individual budget requests, compiling the capital plan)
2. Fire (rescuing lost, abandoned, at-risk children)
3. Health (child nutrition, maternal and child health clinics, teen pregnancy and parenting facilities)
4. Housing Authority (renovating, building and managing low-income and transitional housing)
5. Library (children's rooms, literacy, parenting support and education)
6. Planning, Community Development (planning housing, drug-free zones, recreation facilities, CDBG funds)
7. Police (child abuse and domestic violence calls)
8. Recreation (planning, facilitating, supervising safe places for families and children)
9. Schools (special needs services and child/family counseling)
10. Welfare, Social Services (foster care, adoption)
11. Youth and Family Services (programs and services targeted for families
12. Personnel (setting up Employee Assistance Plans, training staff to ensure "customer satisfaction" from citizens, policies to establish the municipality as a model employer)

and children; some special staff; and a variety of citizen boards, commissions, and task forces. Each of these entities can individually and together make significant contributions to human services.

Some municipalities also have staff members who specialize in constituent services, special projects, or even, specifically, in human services. These persons can add value to their departments' services by considering the service interests of the two basic types of customers. They also add value by crossing departmental lines to combine resources and jointly plan and deliver services. We will explore local administration more in the next chapter.

Substantial Resources

In summary, municipal governments have substantial internal resources to enhance the community's human services network. These resources include money for programs and facilities and the procedures by which it is allocated; facilities, both owned by or made available through the powers and authorities of municipal government; and staff who provide a general quality of services as well as staff who have the potential to contribute explicitly to the overall human services delivery system.

What Cities are Doing

City hall programs work. Eighty percent of the cities that responded to the NLC survey reported at least one "success story" concerning children and family topics.[2]

Coordination

As we saw earlier, cities often act as the coordinating fiscal or managerial body for private programs that serve families and children. They can act as a distributor of funds to private entities; contractor for services; or coordinator of agencies. Here are some examples of how cities are being brokers between public and private programs:

Vallejo, California (population 80,188), supports a non-governmental teen counseling group called Youth and Family Services. Support is in the form of direct financial services and rent-free use of a city-owned house near the police department.

The police department and Youth and Family Services work closely together to counsel "nonserious crime" youth offenders by keeping these children out of the Juvenile Justice System. Local judges also cooperate in this program.

Youth and families are counseled, restitution is freely made, and service work is performed. The program is successful in that the city has been able to support and facilitate the interaction of a private counseling group and its own police department and judicial system to better meet the needs of at-risk youth in the community. For more information, contact: Sgt. Tony Pearsall, Vallejo Police Department, 111 Amador St., Vallejo, CA 94590.

The city of Omaha, Nebraska (population 342,795), provided funding to the Omaha YWCA's Women Against Violence Program – $42,000 for 1989. The program provides a hot line, counseling, and assistance to abuse victims. Contact: Emily Kozlik, Director, YWCA, 222 South 29th St., Omaha, NE 68131

Altoona, Pennsylvania (population 56,078), funded the purchase by a local nonprofit family and children's service agency of a vacant apartment and adjoining building. The agency renovated the building into low-income housing and a child care center for single-parent families. The project involves many social service and job training agencies. Contact: Jacqueline Sutton, Family & Children's Service, 2022 Broad Avenue, Altoona, PA 16602.

Steps in the Planning Process for a Coordinated Children's Plan

When San Francisco set out to develop a coordinated plan for children's programs, the Mayor's Office of Children, Youth and their Families followed these steps. The planning process lasted from Fall 1990 to Spring 1991. For more information, contact Keith Choy, Director, Mayor's Office of Children, Youth and Their Families, 10 United Nations Plaza, Suite 480, San Francisco CA 94102; (415) 554-8990; FAX (415) 554-8769.

Write first draft recommendations
Interview department heads
Review, recommend, prioritize draft recommendations
Get planning input from technical/community advisory pool
Revise state of youth rights and responsibilities
  Workgroups
    A Intervention-coordinated
    B Prevention
    C Policy and advocacy strategies
    D Fiscal strategies/administration action plans/for first year
Review key planning documents
Questionnaires to existing adjunct commissions, advisory groups, and task forces
Questionnaires returned
Match community priorities with draft priorities
Review final draft
Draft sent to mayor
Test draft on individual youths
Public hearings
Approve implementation strategies for first year

Cities and Public Schools

Cities also act as coordinating bodies for or in partnership with public school systems.

The city of Redwood City, California (population 54,965), has joined with the Redwood City Elementary School District to form a Consortium for School Age Child Care. The city has representatives on the Consortium's Executive Board, serves as the fiscal agent, and provides space for the part-time coordinator. Child care is made available after school in school- and city-owned sites. Contact: Corrine Centeno, 1600 Middlefield Road, Redwood City, CA 94067.

Alexandria, Virginia (population 103,217), funded the establishment of child care centers in each of the city's public elementary schools. Now all twelve schools provide before- and after-school child care. Contact: Jane Angrist, DHS, 2525 Mt. Vernon Ave, Alexandria, VA 22301.

Overland Park, Kansas (population 81,784), joined with the Blue Valley Board of Education to create a "hybrid school-community center." The agreement calls for equal financial contributions from both parties. The taxpayers get two facilities, but pay only once. City-owned parkland was used as the site for a jointly used facility. Contact: Bob Pledge, Community Services Manager, City Hall, 8500 Santa Fe Drive, Overland Park, KS 66212.

When the Tupelo, Mississippi (population 30,000), public school system set a goal of reducing student teacher ratios in all seventh through twelfth grade English and mathematics classes to twenty-two to one, school officials knew that funding for the initiative was not available in their tax-supported budget. A local businessman and co-founder of a citizen association to support public education suggested that the city should fund the program.

With the support of this association and school officials, the City Board of Aldermen, through the Quality Leap Forward Program, provided approximately $2 million over a five-year period to reduce student-teacher ratios and offset the impact of a large annexation of new students on the school system.

These funds were provided from the city's general fund, and were in addition to the regular tax levy to support the public schools. When the state attorney general's office questioned the legality of the funding (state law prohibited use of general fund ad valorem taxes to support public schools), city officials showed that the funds were generated from other (legal) revenues. The funding from the city gave the school system time to incorporate funds for the improvements in its own budget. For more information, contact: Mayor Jack L. Marshall, City of Tupelo, Post Office Box 1485, Tupelo, MS 38802; or Dr. Mike Walters, Superintendent, Tupelo Public Schools, Post Office Box 557, Tupelo, MS 38802.

Tax Policy

As we saw in the chapter on state aid to cities, many cities use tax policy to fund programs for families and children. In some cases those tax policies come about as a result of state regulations, but in others, the initiatives are purely local ones.

There were several children-related tax questions on the November 6, 1990, ballot. Of particular interest were ballot questions in Seattle, Washington, and in St. Paul and Minneapolis, Minnesota.[3]

In Seattle, Washington (population 493,846), voters approved by an overwhelming margin a question on the November 6, 1990 ballot that asked for an increase in the property tax to help families and schools address the needs of Seattle's children. The total annual cost of the Family and Education Levy would be $8.5 million for seven years, or $25 annually per household at $100,000 assessed value.

The plan, which came out of the April 1990 Seattle Education Summit, initiated by Mayor Norman Rice, aims to "make children safe, healthy, and ready to learn." The major components are: Early Childhood Development, $2.2 million; School-based Student/Family Services, $2 million; Comprehensive Student Health Services, $2.7 million; Out of School Activities, $1.6 million; Educational Enrichment, $2.1 million from the School Budget, freed by the additional funds raised by the Levy. For more information contact: Sue Tupper, Citizens for Education, P.O. Box 21392, Seattle, WA 98111; (206) 628-7290.

On the same day, in St. Paul, Minnesota (population 270,230), voters failed by 2,000 votes to approve an increase in local school property taxes to carry out a plan by the school board.

The plan set four goals for St. Paul schools for the next five years: to substantially improve the skills of St. Paul students in reading, writing and math; to provide St. Paul students with science and reasoning skills identified by St. Paul employers as necessary for success; to assure that young St. Paul children are ready to start school; and to reduce the district's dropout rate by 25 percent.

The plan would have required an increase in the school property tax of $19.5 million per year beginning in 1991 – costing the average St. Paul homeowner $6.18 per month. The members of the school board were confident enough that their plan would meet its goals that they offered a guarantee to the citizens of St. Paul: "if the proposed tax increases passes and the school district fails to meet the objectives we have set by 1995, we will not file for reelection to the school board at the end of our terms."[4]

"We all agreed that the prospects of passage were not favorable," said School Superintendent David E. Bennett. "But we were heartened that we came so close." For more information, contact: Marian Bystrom, St. Paul Board of Education, 360 Colborne St., St. Paul, MN 55102; (612) 293-5109.

The greatest margin of victory was realized in Minneapolis, Minnesota (population 370,951), where 66 percent of the voters approved a property tax increase expected to raise $126 million for schools. The money will be used to reduce class sizes and to expand programs for early childhood development and teacher training.

Gerald Menefee, Associate Superintendent for Finance and Operations, attributed the victory to a "broad-based interest" on the part of Minneapolis voters in improving the city's education system.

Burlington, Vermont (population 37,712), has tried twice, unsuccessfully, to raise and use local revenues for child care. The first attempt was in March, 1988, when voters defeated a charter amendment which would have placed a

What a City is Doing for Child Care

City of Los Angeles, California Checklist (through November, 1990)

1. Propose a density bonus system for developments which include a child care facility.
2. Offer an expedited permit processing system for projects which include a child care facility.
3. Propose a waiver of selected fees for qualified child care projects.
4. Reduce the business license fee/tax for child care centers and family day care homes.
5. Establish a partnership with the federal government to develop a joint child care center for federal and city employees.
6. Work with city employee associations and local civic groups to establish a child care scholarship fund to benefit city employees of limited income who utilize the city child care center.
7. Establish partnerships with other public and private sector groups to support local child care services (funding, in-kind services).
8. Fund the local school district to operate "L.A.'s Best," an after school education and enrichment program at elementary schools.
9. Fund the construction, renovation, and expansion of child care projects through low-interest loans and matching grants.
10. Include child care centers as priority projects eligible for expedited sewer permits.
11. Establish a Family Day Care Loan Fund, offering $2,000 to start up or expand licensed in-home child care programs serving low- to moderate-income families.
12. Complete an inventory of city-owned land and facilities to identify unused or underused space potentially available for child care use, and offer available land to qualified child care providers.
13. Implement a vendor-preference system which gives preference to vendors with child care policies or practices.
14. Allow licensed family day care homes to operate as a permitted right by the occupant in a one-family dwelling (i.e. eliminate zoning hearings, lengthy applications, and fees for family day care homes).
15. Provide funds to the local school district to extend supervised after school playground activities until 6:00 p.m. each school day.

For more information, contact: Patsy Lane, City of Los Angeles, Office of the Child Care Coordinator, 111 East First Street, Room 502, Los Angeles, CA 90012.

new tax on local businesses to be used for a Child Care Development fund for Burlington employees.

A second, slightly different attempt was made, and defeated, a year later on March 7, 1989. This time, the voters were asked two questions on the ballot: to create a Child Care Fund for residents of Burlington and to increase the tax on restaurants, hotels, beer, wine, and tobacco, with the extra revenues going to child care services.

According to Suzanne Furry-Irish, the Burlington Child Care Coordinator, the city is now concentrating on making changes in the municipal child care system, in an effort to become a "model employer" to serve as an example for other local businesses. Unless the economy improves, she says, it is unlikely that another revenue-raising effort will be made for child care. For more information contact: Suzanne Furry-Irish, Child Care Coordinator, Room 21, City Hall, Burlington, VT 05401; (802) 658-9300.

Direct Funds

In addition to coordinating and contracting out to public and private agencies, and adjusting or creating new tax policies, many city halls are involved in providing money directly to and for programs for families and children. Here are some examples.

The Recreation Department of the city of Fairfax, Virginia, (population 19,390) has greatly expanded the extended day segment of the summer day camp program. Contact: Mike Cadwallader, 3730 Old Lee Highway, Fairfax, VA 22030.

In Rockford, Illinois (population 139,712), city funds from the Departments of Human Services and Community Development have been used to address a variety of problems concerning families and children. The mayor has served as a convener for several task forces to recommend solutions for various topic areas, using all relevant city departments to work with the task forces. Contact: Gwen Robinson, Executive Director, 1005 So. Court, Rockford, IL 61102.

Direct Funds To Prevent Gang Activities

The Neighborhood Youth Recreation Program, in El Paso, Texas (population 425,000), was created in 1987 through the Mayor's Ad Hoc Committee on Gangs. Its approach is preventive; it aims to stop gang recruitment by getting rivals together, dispelling hostilities, and providing alternative activities.

Originally, the federal Department of Housing and Urban Development (HUD) provided funding through the City Community Development Office. However, the HUD dollars required income certification for each of the participating children's families to make sure they were eligible. As a result, some kids were excluded from the program because their families did not want to disclose their finances (revealing off-the-books incomes could cause tax problems or denial of welfare eligibility).

The program is now funded by the city general fund and has no eligibility constraints except age: participating youth must be seven to twenty-one years old. School buildings are used because they are free. The program's participants are mostly low-income kids so they can't pay fees. The program asks the community for donations since the kids' families have limited incomes. Admission tickets for activities and transportation by the YMCA have been donated or subsidized.

To help oversee and coordinate the programs, the city created the Mayor's Youth Advisory Board. Two-thirds of the members are appointed by aldermen and one-third are kids from twelve to twenty-one years old. Miguel Alferez, the program's director, would like to see the city also create an Office of Youth Affairs so that a master plan can be developed and experts can advise the mayor and aldermen.

Alferez considers this approach the only way to fully address the problems of gangs and youth violence. He would love to see the neighborhood program become a nation-wide effort so that all cities could have a manageable and efficient way to keep kids in school, and away from drugs. For more information, contact: Miguel Alferez, Coordinator, Neighborhood Youth Recreation Program, City Parks and Recreation Department, 2 Civic Center Plaza, El Paso, TX 79999; (915) 541-4331.[5]

Creating a Children's Budget

In the city of Bridgeport, Connecticut (population 142,546), the Bridgeport Child Advocacy Council (BCAC) produced a report called "Changing Dollars into Sense for Bridgeport's Children; Bridgeport Children's Budget, 1988-1990." A BCAC study to determine how Bridgeport's children currently fare in the city budget process found that though "our children are the future of our community...city budgets seldom make children a priority."

The group's efforts helped the mayor, Mary Chapar Moran, in proclaiming the 1990s as the decade of the child in Bridgeport.

In practical terms, this proclamation established several goals for Bridgeport children, all based on data from the BCAC report:

	Present Data	Goal 2000
Children in poverty	34%	15%
Infant mortality	13/1000	9/1000
Homeless children	532	0
Teen births	18.4%	9%
High school dropout	33.2%	20%

For more information, contact: Sharon C. Nechasek, BCAC, 475 Clinton Ave., Bridgeport, CT 06605; (203)368-4291.

Children's budgets are also being prepared for Los Angeles County by the Los Angeles Roundtable for Children (contact Jacquelyn McCroskey, (213) 743-0494) and for San Francisco by the city budget department (contact Carol Wilkens or Zoon Nguyen, (415) 554-6119).

NOTES

1. Catherine E. Born, *Our Future and Our Only Hope: A Survey of City Halls Regarding Children and Families*, National League of Cities, Washington, D.C. 1989; p. 51
2. *Ibid*, p. vii
3. Additional information for these ballot stories was contributed by Bill Carey.
4. "A Proposal from the Saint Paul Board of Education to the Citizens of Saint Paul," St. Paul Citizens for Our Children's Future, Saint Paul, MN, 1990.
5. The story of the El Paso Neighborhood Youth Recreation Program was written by Janet Cowan.

CHAPTER SEVEN

ADMINISTRATION OF THE FUNDRAISING PROCESS

By Michael C. Ward

If nothing else is evident from the previous chapters, it should be clear that if local efforts to increase funding for programs affecting children and families are to be successful, they should be organized and administered in an orderly process that is an integral part of a city's overall development strategy.

A successful fundraising program, whether the target is public or private funding for local programs, will contain the following components: research and prospect development, program development and grants writing, and, assuming success of the program, grants management and reporting. These components are integrally related, each supporting the other and each crucial to the overall success of the local efforts.

This chapter will take the factual information from previous chapters and place it in a "how to" context. It will also explore in more detail the elements of fund raising in terms of how local efforts may be organized and staffed in a manner that will produce results.

Research and Prospect Development

Research and prospect development involves finding and collecting information on funding sources and looking for opportunities to secure and use funds from various sources to carry out local programs and projects.

Building a Developmental Data Base

To effectively represent your city's developmental objectives to potential funding sources, you must clearly define your city's objectives and support them with adequate data. This implies the coordination of a planning process within the municipality and the development of a data base to provide the basic information required for funding applications.

You or your staff must work with planning and other appropriate city staff to identify programs and projects for which public or private funding may be sought. This process may also include discussions with public school officials, social service agencies, and other nonprofit organizations within the community.

One way to begin such a process is through a general staff meeting at which personnel from each department are asked to share a "wish list" of programs and projects for which funding is needed. For each such item, additional data on need, cost, and benefits can be obtained. A similar approach can be used to ascertain the needs of community organizations and social services agencies.

Another approach is to have one city official interview department personnel and other community leaders to compile a proposed list of projects. Those interviewed should include all elected officials as well. The city's leaders can then discuss and set a development agenda for further action.

Many cities have undertaken a comprehensive strategic planning process, involving municipal personnel, elected officials, business leaders, representatives of schools and other community institutions, and neighborhood-based citizen advisory committees. These efforts usually lead to a development plan that far exceeds the limits of traditional municipal comprehensive plans and involves a strong effort to build consensus within the local community.

The point is that there must be a coordinated plan. Simply responding to requests for proposals on an ad hoc basis will not ensure that any funds, if raised, will address the most vital concerns and problems within a municipality. The planning process will enable you to develop strategies for addressing local social and economic problems.

You will also need to maintain accurate records on a variety of demographic data that may be useful in developing applications, such as population statistics, economic data, and information on the social characteristics of the local population. Any application for funding will require some of this information.

The most useful starting point may be the block group statistics of the U.S. Census, but this should be only a start. Your city should maintain detailed data on current conditions within the community. Surveys of housing conditions might be useful. Other community human service agencies can provide city hall with detailed statistics on people served and problems addressed.

How many children are in your public schools? What was last year's dropout rate? What is the infant mortality rate within your city and its neighborhoods? How many children participated in your city's recreational programs last year? How many permits for child care centers were issued? These and other questions will sooner or later have to be answered by a city seeking funds for projects affecting children and families.

Researching Government Funds: Building Personal Contacts

Building a network of personal professional contacts with legislative and agency personnel at the state and national levels is essential to securing government funds.

Many cities maintain regular contact with their representatives in the statehouse and on Capitol Hill. Often this relationship is one of promoting specific local projects and seeking funds for such projects, or advocating some legislative action that will result in local improvements. Congressional and legislative contacts are also very useful in monitoring federal and state programs and the availability of funds, provided they receive regular information on the programmatic priorities of local constituents.

You should also be aware of the committees within Congress and the state legislature on which your representatives serve and make additional contacts with the staff of such committees. If you are seeking additional funding for an educational program, for example, you can benefit immensely from a contact on the staff of a committee on education.

There are several types of federal agency officials that can serve as important sources of information with regard to funding opportunities. An agency's policy development staff generally works directly with congressional or legislative staff to develop legislation that leads to individual programs within a particular subject area. A local official wanting information about programs that might be in effect a year or two in the future, or seeking the implementation of some new program, should be in contact with such staff.

Once a program is legislatively mandated, the program development staff takes over and develops implementing regulations. These staff members can be contacted with regard to proposed regulations published in the *Federal Register* or equivalent state bulletin.

Finally, if you learn of a program already in existence and need more information, program implementation staff may be consulted. In practice, the various staff members work with each other to some degree in program evaluation and development, so it is not uncommon to get a tip about some future program from the implementation staff.

Learning who such officials are, and developing productive relationships with such officials, is essential to developing an "early warning system" concerning current and pending federal programs and must be an essential part of the program development process at the local level. The complexity and detail of such an effort within any given city or town will, of course, be limited by budgetary and staff constraints.

Once an application is filed with Federal or state officials, follow up with all appropriate contacts. The initial review of most applications is performed by "readers," outside consultants who rank the applications according to the published review factors, much as a teacher grades a test. The average of the scores allocated to an application by the readers forms the basis of the initial ranking of the application with respect to all other applications.

Such rankings, although objective in theory, actually reflect many subjective judgments a reader has to make based on information submitted in an application. Within a twenty point ranking factor, different readers might assign any score to an application.

It is important, therefore, to follow up with congressional and legislative offices, and any other governmental contacts you may have, and encourage them to make inquiries concerning your application's initial ranking. Such an inquiry might prompt further review of the application by agency staff prior to initial funding decisions.

Researching Private Funds: Using Resource Materials

Gaining access to resource materials on potential funding sources is only the first step in building a list of such sources. The process of determining which sources might be interested in funding local projects is a time-consuming, but necessary, endeavor.

The elementary guidebook for this process is another Foundation Center publication, *Foundation Fundamentals: A Guide for Grantseekers.* This book gives an overview of foundations and foundation grants and outlines how any organization can develop a search for potential funders. The primary rule, as with federal and other governmental funding, is to do your homework and plan the fundraising effort. This section discusses the use of reference and resource materials to arrive at a funding "hit list".

One key to using the reference materials on foundations is to use the indices contained in such materials to temporarily eliminate sources listed that are unlikely to fund your particular project or program and to identify those that are likely to provide support. A good starting point is the geographic index. In general foundation directories, this index will generally give the location of the headquarters of each foundation. Foundation Center publications will also list in bold type foundations that give grants on a regional or national basis. Those not in your state that do not give regionally or nationally can generally be eliminated. Corporate directories may have indices listing the locations of company headquarters, states in which companies operate or do business, and states where companies have major operating facilities or branch plants.

Another index that is useful is the subject index, which groups and lists those foundations that support programs that deal with individual subjects, from accounting to youth programs. Such indices usually contain broad listings such as community development, education, and health. They also will contain many subheadings, such as adult education, elementary education, secondary education, and higher education.

Most references also index by the type of support. This is a listing of foundations divided into categories such as annual and capital campaigns, fellowships and scholarships, endowments, general support, and emergency support.

Two types of support deserve special attention. "Seed money" is funding provided to help a local group start a new project or program, or to help establish a new organization. "Program-related investments" are essentially loans to local agencies to support projects in which traditional lending institutions might be unwilling to invest, such as low-income housing, and which generally carry interest rates considerably lower than those offered by local institutions. Definitions of other types of support are generally given with each index.

Another approach to researching potential funding sources is to focus on the people within the foundations, particularly those serving as officers and directors of the foundations. These individuals play important roles in funding decisions, and contacts with them can be as important as the proposal itself. Most directories will include an index of donors, officers, and trustees of the foundations listed. Any direct link to these people should be noted and used.

A final strategy is to look at the grants the organization has made in the past. As potential funding sources are identified, always write for any information published by such sources. This information may include annual reports, newsletters, grant lists, and application guidelines. Many of the foundation and corporate directories contain information on past grants of those organizations listed, and the Foundation Center publishes a *Foundation Grants Index* that lists additional foundation grants.

One important caution: While indices give you a starting point and assist in the refinement of prospect lists, do not rely on them to the exclusion of all other information. They are only as good as the information on which they are based and the researchers who put them together. Foundation programs and interests are constantly shifting. Some directory material while in a 1990 directory may be based on a 1988 foundation report – watch for listings of source materials used in the directory.

Gathering Information

As information is gathered, it should be recorded in a standard format that roughly follows the types of information being obtained. Each organization develops its own formats and record keeping procedures. Common characteristics include:

1. **Basic contact information:** Name, address, and phone numbers of organization; names and phone numbers of specific contact persons. For larger organizations, there may be several contacts listed, with different local contacts for each contact in the organization. Sometimes different individuals at the local level may establish productive relationships with funding source contacts. Officers and trustees, as well as key staff, should be listed.
2. **Basic financial information:** For most recent fiscal years, the total assets, amount of gifts received and funds expended will give a general picture of the foundation's financial activity. The amount of grants paid may differ from the total funds expended, as many organizations make non-cash awards or specific non-grant investments. The number and amounts of grants paid within given subject areas indicate a size and range of grant which may be feasible.
3. **Limitations and restrictions on giving:** These may be geographical area restrictions, limits on subjects or types of organizations funded, or on types of support awarded. These define the areas to be avoided in preparing a proposal.
4. **Purposes and other factors involved in funding:** This includes the general purposes of the prospect, plus information that is essentially the flip side of item 3 in terms of subjects or organizations funded, types of support awarded, and geographical areas in which funding is provided. This information tells what must be stressed in the grant proposal. Often, a list of sample grants is attached.
5. **Application guidelines:** This information tells you whether there are deadlines and, if so, when they occur. It includes dates of the prospect's board meetings at which applications are considered, and the time required to process proposals. It may also include information about the method of initial contact preferred by the prospect, which may vary from a telephone call to a full proposal.
6. **Contact record:** As part of the same form or as an attached record, all contacts with the prospect must be recorded, whether by telephone, correspondence or personal meeting. Contacts with individuals that might affect the relationship with the prospect, such as board members, should be cross-referenced. Any comments or future action required should also be recorded.

The Uses of Research and Contacts

At the beginning of the research effort, any of the thousands of funding sources listed in the various reference books are potential funding sources. From this list, using the techniques discussed above, an initial cut may be made, eliminating foundations that do not fund the subject matter or issues that you plan to address or provide the types of support you are seeking. Foundations that apparently do not fund programs in your geographic area can also be excluded. The result is a broad list of potential funding sources that may be interested in funding your local projects and programs. Where do you go from here?

The next step in the process is to learn every single fact possible about the potential funding source, gradually eliminating those unlikely to fund your project and focusing on those that might provide funds, and to reduce that information to writing. At this time you should request all available information published by the foundations identified as possible prospects.

The purpose of these procedures is to build a relationship with the funding prospect that will eventually result, if possible, in a personal meeting between a representative of the city or town and the staff of the funding source at some point prior to the submission of an application for funding. At a minimum, there should be detailed contacts by telephone and some exchange of correspondence prior to the submission of the proposal.

There are few, if any, proposals to foundations and corporate funding sources that receive favorable consideration without a cover letter that begins "Based on your letter of..." or "Based on our meeting/conversation of...", and fewer still that are funded. This point cannot be overemphasized: All private funding is the result of the establishment of a personal relationship between the organization funded and the funding entity. It is best that one municipal official or office be designated as a central base for information. However, any staff member's contacts should be used to the fullest.

Program Development and Grants Writing

The program development and grants writing component involves taking the information gathered in the research effort and turning it into programs and grant applications that will convince funding sources.

Program Development: A Continuing Process

Any city or town considering seeking private and corporate funding for local projects should be prepared to establish a continuing process of research, prospect development, and program development. Efforts in obtaining funds from private sources are successful only when the local government is in direct contact with officials in the funding organization. Such contacts are developed only through a long process of research, trial and error, and eventual conversations and face-to-face meetings with representatives of funding sources.

As prospects are researched and contacts developed, a concurrent effort must be made to develop a data base to support proposal development. The municipalty's grants office or personnel must be ready to respond quickly to a wide variety of requests for information about the city and its proposed programs.

During the development of prospects, be alert for potential funding for related or entirely different projects. A contact that began as a lead for funds for a substance abuse program may indicate a shift in foundation policies and preferences toward school-based programs. Municipal officials should be ready and able to produce information on the schools, health care system, and volunteer organizations that are involved in substance abuse programs.

Applying for Public Funds

Once you have decided to apply for federal or state funds, the primary method of developing a fundable application begins with a complete examination of the regulations and application guidelines. Most guidelines for federal applications will give a complete description of all information required in the application, as well as the procedures and criteria by which such applications will be reviewed and evaluated.

Careful attention should also be given to what are generally referred to as "threshold requirements." These are technical requirements that must be met if an application is to be considered by the government. Many such requirements speak to the eligibility of the applicant. A certified written resolution by the municipality's governing board authorizing filing of the application may be required. Generally the signature of the chief executive officer is required.

Seemingly trivial things, such as the number of pages allowed in a given section of the application or whether narrative sections should be single-spaced or double-spaced, may also be threshold factors. Simply stated, if all threshold requirements are not met, the application will be returned without even being read.

Most applications for federal funds begin with standard cover sheets, referred to as the SF-424, on which basic information about the application is recorded. It is important that all information on these sheets be accurate and complete, as technical inaccuracies can result in an application being rejected, regardless of its programmatic merit.

All facts on the cover sheet must also conform to facts and figures presented within the body of the application. Quite often, information relative to evaluation factors may be pulled from the cover sheet, and inaccurate information may result in a faulty evaluation of the application.

All applicants must then generally prepare a program narrative describing the purposes and objectives, methodology, proposed staff, budget, and evaluation criteria for the proposed project. This narrative should always be presented in exactly the same order as information is requested in the application guidelines and, to the greatest extent possible, address each evaluation factor in the same order as it is listed in the guidelines.

Such a format will allow readers to "grade" the application using standard review forms without flipping back and forth through the application. If the guidelines seem to request the same information in two separate places, give the required information in both places rather than referring to another page.

Proposal Writing Techniques in Seeking Private Funds

Once you have developed a network of contacts with private funding sources and, through a process of contacts and negotiation, have identified a local need that the prospect may fund, you are ready to prepare an application for funding.

Some foundations and corporations use prepared forms that greatly restrict the amount of space for each answer. Where such forms exist, follow the same rules as with applications for federal funds. Provide concise responses, in the space provided, to the questions asked. If you are asked why you should be funded, be specific; point to potential results instead of trying to convince the prospect of the fine city or town you run. If you are asked what obstacles have to be cleared, be realistic and honest in your response. If limitations are placed on additional materials and attachments, observe them.

All that having been said, many foundations offer no specific guidelines for applications. Unless you have information to the contrary, it is best to keep proposals to a maximum of ten pages, five if possible. The simple fact is that for every proposal funded, from fifty to five hundred more are received by most foundation officials. Anything that is too long or not to the point will not be read.

Unless instructed otherwise, a cover letter of no more than a page and a half is suggested. It must be on the letterhead of the municipality and signed by the chief executive officer, usually the mayor unless a staff member has cultivated and established the contact that led to the proposal and has the authority to sign for and administer any grant that is received.

The very first paragraph should indicate the type of support and how much money you want, and for what purpose, as well as any matching money you or other organizations are bringing to the table. The cover letter should also give an overview of the basic information contained in the proposal, as well as some "hook" that ties the proposed activities to the specific interests of the funding prospect.

If the proposal is organized into sections, a table of contents is required. If the proposal is a continuous narrative but has numerous appendices or attachments, a table of contents listing such extra materials should be included in the application. You must make it as easy as possible for the reader of the proposal to extract information from the proposal and its accompanying materials.

The body of the proposal should begin with a project or executive summary reviewing in less than one page the purpose of the project, the methods by which results will be achieved and what those results will be, and a summary of the budget for the project. The amount requested should again be specifically stated. This information is normally also contained in the cover letter to get the attention of the funding source and ensure that the proposal is read. Do not assume, however, that the cover letter will still be attached to the proposal when it is reviewed by the prospect's board of directors. It is safer to include this material in both documents.

Normally a brief introduction to the applicant's organization is required. For a city, this information can include an overview of the activities that led to the application and the city's role in the proposed project. Most foundations do not ordinarily receive applications from municipal governments, so some review of the capabilities of the city in implementing the proposed project is also

Tips and Guidelines for Securing Government Funds

Write to meet the regulations. Make sure that the information you present is clear, concise, and responsive to the program regulations, as well as questions in the application guidelines. Flowery prose and humorous stories generally have no place in an application for federal funds.

Never assume anyone knows anything about your situation. A total of $10,000 in "out-of-state" travel funds was once disallowed from a funded application simply because the proposal writer neglected to specify that the project area, listed as "within seventy-five miles" of a given site, included a three-state area.

Watch application deadline instructions carefully. Some competitions allow a postmark by the deadline date, while others specify that applications must be received by the specified time and date. A private postage meter postmark is never allowed as evidence of mailing.

required. You may want to include more detailed information about the city, such as a summary of city activities contained in an official statement for a bond issue, as an appendix.

You want the prospective funder to know both who you are and why you are qualified and appropriate to carry out the proposed project. Regardless of the amount of negotiation and contacts that led to the proposal, do not assume that the reader knows anything about you. Even if your contact is the principal reader of the proposal, others will eventually review the application, and you must give them sufficient information to reach the same positive conclusions about you that your contact in the foundation should have already reached.

Many foundation officials are moving away from the traditional "needs statement", reciting local conditions of poverty or other factors of need, in favor of an "inventory of strengths" approach, in which the applicant tells why it can have positive impact on specific issues and problems in the community. Goals and objectives should be clear, concise, and to the greatest degree possible, measurable. The evaluation of a program should be logically related to the goals and objectives. While foundations may not be as "fact specific" in requiring evaluations of programs as governmental funding sources, they nonetheless want to know that the city is accountable for any funds received and that objectives are to some degree measurable.

All proposals must be accompanied by a detailed project budget, which must be related and appropriate to the proposal's stated goals and objectives. A budget narrative, giving the basis for each line item and the amount requested, is recommended.

Most private funding sources will want to know what the future funding plans for the project might be. This includes any additional proposals that might be submitted to other funding sources, and a long-range plan for eventually integrating a project into the regular operations of the city or some other local institution. Foundations may refer to this part of the application as a "self-sufficiency plan," as most private support is limited to one year, with a maximum of three years. Any "in-kind" or donated goods, services, or time by staff should be clearly indicated as such.

A final thought: There are many books and instructional materials on the proper methods for preparing a grant proposal to foundations and corporations. Some are listed in Appendix E, others in the Foundation Center's *Foundation Fundamentals*. Many of these are excellent; all are useful resources.

The ideas contained here reflect the personal experience of the author and do not touch on all possible grant writing techniques. If you wish to write successful proposals to private funding sources, check these other publications for additional ideas. Also check with other officials and the staff of non-profit organizations who are involved in proposal writing. Basically, the only way to learn is to do it regularly and suffer, as we all do, from the pain of rejection, hoping at least to learn more in the process.

Administration of the Fundraising Process

Federal and state funding, while more competitive from year to year, is still available. Foundation and corporate funding represents a tremendous untapped resource for cities and towns, but also presents significant challenges in terms of designing fundable programs and accessing such funds. Most cities actively seek federal and state grants. Others have begun to tap community foundations and corporate resources for the funding of specific projects. Cities can establish a development process that incorporates all such sources into an overall plan for the funding of vital programs affecting children and families.

Some cities have staff members whose sole or partial responsibility may be the acquisition and administration of grants, while others contract out for these services, either with private consultants or with regional planning and development agencies. Quite often, grants are sought for individual projects within separate departments without any overall coordination in municipal government. Resources may become known to one agency that could benefit another city program, but this information is not shared.

The Concept and Mission of a Development Office

Problems associated with research, information sharing, program development, and grants writing and management can be addressed by the establishment of a central development office within municipal government. This office can coordinate the design, funding, and implementation of educa-

Objectives of a Development Office

1. Establishment and coordination of development and project plans among and between city operating departments, and the development of applications for funding to implement such plans.
2. Establishment and maintenance of formal relationships with public, private, and corporate funding sources for community development projects within the city.
3. Maintenance of working relationships on behalf of the city with area congressional and state legislative representatives to explain the development needs of the city and promote legislation and appropriations designed to address those needs.
4. Provision of technical assistance to non-profit organizations, community groups, and other community institutions and agencies in the design and implementation of development projects, including drafting and marketing applications for funding of such projects.
5. Functioning as a reference source and clearinghouse for development projects proposed within the city.

tional, social, and community development projects the city, matching resources to needs. It is important, however, to use the contacts and expertise of any elected official or city hall staff member, even if they are not part of the development office.

The first important characteristic of this concept is that the municipality commits itself to seeking all potential funds for local development projects: federal and state, public and private. It moves the city or town from a passive respondent to requests for federal and state proposals to an active participant in the overall development of resources for the municipality.

The other major feature of the development office concept is that funds are sought for any type of project or program. The city goes beyond traditional housing development and infrastructure concerns to take a pivotal role in fundraising for educational, human services, and social projects, the so-called "quality of life" concerns.

The basic assumption underlying this concept is that any dollar spent within the city on any program or project that provides some service to local residents is a dollar well spent. It may be a $5 million grant for road improvements or a $5,000 donation by a local civic group to an emergency shelter. A program may encompass the development of a housing strategy for low-income homebuyers or simply expand the effectiveness of the United Way effort. If it helps some segment of the population, then the city should be involved.

The potential for clients of the development office is unlimited. In localities having community foundations, the development office can work with the community foundation to generate funds for numerous community initiatives. Other clients include nonprofit organizations who benefit from city-sponsored federal programs and developers/contractors who participate in funded housing programs.

The development office can also consider other city departments as clients, as funds are raised for recreational programs (parks and recreation), street and drainage improvements (public works), drug enforcement activities (police), and fire fighting equipment (fire). The efforts of the office in promoting the city through national competitions and other activities also benefit the mayor's office and the tourism department. One can argue that the ultimate client is the community itself or the public at large.

Issues in the Formation of a Development Office

The first question one might ask is where such an office fits within the overall structure of municipal government. Many cities and towns locate grants-seeking activities within planning or community development departments, which are closely connected to the long-range planning functions of the municipality. Others have grants officers as a part of the Mayor's office. While no one format is required, some general considerations should include:

1. Does the development office have direct access to all levels of municipal government? Since it will be raising funds and developing programs across a wide range of activities, access to a wide range of plans, strategies, and information is critical.
2. Funding priorities should be clear. There should be some process by which the local elected officials give the development office its priorities for program development and funding.
3. The development officer should have sufficient authority to carry out the mission of the office, however defined. If the development officer is to officially represent the municipality before federal, state, and private funding sources, this person should be able to commit the municipality to a course of action.
4. The development office should have a staff and budget sufficient to achieve its mission. It does little good to expect funds from distant sources without allowing the staff to travel to meet those sources.

These factors suggest that the development office should be a department-level position, so that the development officer has the authority to deal on equal terms with other departments and to present its own budget and plans to the elected officials of the municipality. At the very minimum, it should be a functioning unit of the office of the muncipality's chief executive.

Administrative Structure

A successful fundraising program, whether the target is public or private funding for local programs, will include these three major components – research and prospect development, grants writing and program development, and, assuming success of the program, grants management and reporting – operating in a development office.

Functions of the Development Office

The development office is the principal direct fund raiser for city projects. It is headed by a development officer, who is supported by a development staff that combines the functions of a fund-raising, public relations, and promotion office for the city.

The development office can work directly with other city departments to support their development objectives. It could, for example, secure funds to support park and recreation programs for children and families or to support police drug education programs. It can also work with other parts of the community, for example, securing funds to help the public schools develop dropout and literacy programs or help local hospitals combat community health problems. It can also work with local nonprofit organizations to help them be more effective.

The development officer's prime responsibility is to represent the development objectives of the city before potential contacts for funding and technical assistance that can further those objectives. This broad task involves making and pursuing contacts with government, foundation, and corporate funding sources; representing the city before federal agencies, state agencies, and at meetings of a wide range of organizations; maintaining relationships with Congress and the state legislative branch; participating in national and regional advocacy organizations; promoting the city; and establishing professional relationships.

The development office staff has three main tasks in support of this effort – finding and development prospects, writing grant proposals, and managing grants. Ideally, there could be a staff for each task.

The research and prospect development staff reviews federal and state regulations, requests for proposals, the funding guidelines of various funding sources, and trade and professional publications to find funding opportunities for municipal projects, and informs appropriate city officials of those opportunities. Sometimes the staff makes the initial contact with funding sources. Other research and prospect development tasks are to track city development projects and maintain a library of information on fund raising.

The grants writing staff writes grant proposals and proposal letters, funding inquiries, reports, position papers, or contact papers. The staff also prepares background material for proposals: staff resumes, budgets, mission statements, program objectives, project histories, and evaluation plans. The writing staff works with the research and prospect development staff on development and maintenance of a database and management system for program and proposal development.

The grants management staff manages all grants received as a result of development office efforts.

Application to Programs Affecting Children and Families

Within city government itself, the development office can work directly with departments of parks and recreation, community or social services, and planning and community development to research funding opportunities, develop proposals, and manage grants that fund programs affecting children and families. The development office can secure funds to assist schools in addressing dropout and literacy problems and local hospitals in combating community health issues. It can work to increase the roles and effectiveness of non-profits in coping with community problems.

The ultimate product of the development office can include the promotion of the city in national and regional markets. Funding is the result of a process that includes research and monitoring of funding opportunities, development of program ideas through interaction with various clients, the writing of grant proposals and applications, and the establishment and maintenance of nationwide contacts with public (federal and state government) and private (foundations and corporations) funding sources. Promotion is accomplished through lobbying, participation in professional organizations, and competition for awards and participation in events such as conferences and seminars.

CHAPTER EIGHT

CONCLUSION

By Carolyn Grose

Can a city or town afford the efforts recounted in this guide? The real question is whether your city or town can afford not to take a more active role in securing ways and means for projects and programs for children and families.

The economic prosperity of any community – from an inner city neighborhood to a rural community – is strongly tied to the quality of life the community offers. Programs affecting children and families, whether in education, child care, recreation, or any social service area, are an integral part of a community's effort to offer an attractive quality of life.

Cities and towns should strive to be innovative in exploring the potential for new funding sources at the local level. Those cities and towns whose lack of resources prohibits direct increases in funding for programs affecting children and families, should examine the potential for combining resources with neighboring city, town, or county governments to improve local services.

As we mentioned in the introduction, however, funding alone is only a first step. Efforts must be made to coordinate services with other community institutions, such as the public schools, hospitals, and health agencies, and nonprofit service organizations to increase the impact of those funds that are available in the community.

Potential funders are much more drawn to municipalities that show evidence of being effective as brokers among funding sources and recipients and as managers of their own internal resources. Collaboration among those entities and resources is an essential element in creating a successful human services delivery system. Now it is up to you to see what works best for your municipality.

APPENDIX
A

A State-by-State Guide to Funding Directories

This guide first appeared in The Grantsmanship Center's *Whole Nonprofit Catalog*, Fall/Winter 1990. Copyright © 1990, The Grantsmanship Center. Edited and reprinted with permission. The Grantsmanship Center is the world's oldest and largest training organization for the nonprofit sector. Since it was founded in 1972, the Center has trained more than 45,000 staff members of public and private agencies in grantsmanship, program management, and fundraising. For a schedule of Grantsmanship Center workshops and for information on how to order Grantsmanship Center publications, write to The Grantsmanship Center, Dept. DD, 650 S. Spring Street, #507, P.O. Box 6210, Los Angeles, CA 90014 and request a free copy of the Center's *Whole Nonprofit Catalog*.

Alabama

Government Grants

Grants Manual. 1988. Published every 2-3 years. Order from the Alabama Dept. of Economic & Community Affairs, 3465 Norman Bridge Road, P.O. Box 250347, Montgomery, AL 36125. (205) 284-8905. Free.

Foundations

Statewide: *Alabama Foundation Directory*. 1988. For information about an upcoming revised report, contact the publishers, the Birmingham Public Library, Information/Research Dept., 2100 Park Place, Birmingham, AL 35203. (205) 266-3680.

Appalachia: *A Guide to Funders in Central Appalachia and the Tennessee Valley* begins with a chapter on how to write a grant proposal and includes a sample proposal. (The book is accompanied by a 40-minute audio cassette on the same subject.) The book lists foundations that make grants in northern Alabama, northern Georgia, eastern Kentucky, western North Carolina, southeastern Ohio, southwestern Virginia, and the entire states of Mississippi, Tennessee, and West Virginia. 1988. Available from the Appalachian Community Fund, 517 Union Avenue, Suite 206, Knoxville, TN 37902. (615) 523-5783. ($35 plus $3 postage and handling).

Alaska

Government Grants

Alaska State Aid Catalog includes disbursements to district schools and public libraries, technical assistance programs, surplus property distribution programs, rebates from property and aviation fuel taxes, loan programs, and grant programs for local governments, nonprofits, and individuals. 1989. Published annually. Order from Alaska Municipal League, 217 2nd St., Suite 200, Juneau, AK 99801. (907) 586-1325. $20.

Foundations: No directory.

Arizona

Government Grants: No directory.

Foundations

Arizona Foundation Directory. 1989, out of print. A new edition is to be published by the end of 1990. Contact the Junior League of Phoenix, P.O. Box 10377, Phoenix, AZ 85064. (602) 234-3388.

Arkansas

Government Grants: No directory.

Foundations

The Guide to Arkansas Funding Sources. 1990. Available from Independent Community Consultants, Inc., P.O. Box 141, Hampton, AR 71744. (501) 798-4510. $25.

California

Government Grants

Catalog of California State Grants Assistance. 1989. Compiled every two years. Order from the California State Library Foundation, P.O. Box 942837, Sacramento, CA 94237-0001. (916) 322-4570. $17.75 plus $2.00 shipping/handling.

Foundations

Statewide: *Guide to California Foundations*. Introductory material includes a section entitled "About Applying for Grants." 1988. A new edition of this guide is to be published early in 1991. The 1988 edition is still available from Northern California Grantmakers, 116 New Montgomery Street, Suite 742, San Francisco, CA 94105. (415) 777-5761. $23.85.

Local: *Guide to Santa Clara County Foundations*. Descriptions of 20 foundations headquartered in Santa Clara County, California. 1989. Available from the Nonprofit Development Center, 1762

Technology Drive, Suite 225, San Jose, CA 95110. (408) 452-8181. $11 plus $3 shipping and handling.

San Diego County Foundation Directory. Information on 123 San Diego County foundations. 1989. It is no longer available for sale. A new version is planned. Contact the San Diego Community Foundation, 525 "B" Street, Suite 410, San Diego, CA 92101. (619) 239-8815.

Corporate Giving

Corporate Contributions Guide to Santa Clara County. A 'starter kit' for finding corporate funding in Santa Clara County (CA) profiling about 200 corporations. 1989. Third edition. Available from the Nonprofit Development Center, 1762 Technology Drive, Suite 225, San Jose, CA 95110. (408) 452-8181. $33 plus $3 shipping and handling.

Colorado

Government Grants: No directory.

Foundations

Colorado Foundation Directory 1990-91. 1990. Cosponsored by The Junior League of Denver, Inc., the Attorney General of Colorado, and The Denver Foundation. Available from the Junior League of Denver, Inc., 6300 East Yale Avenue, Denver, CO 80222. (303) 692-0270. $12 includes book rate postage and handling; please add $2 for first class mail.

Connecticut

Government Grants

Only 5 editions of *Municipal Digest have been published since 1976.* It lists all ongoing grant and technical assistance programs for which municipalities are eligible. April 1989. Published every two years by the Office of Governmental Relations, 80 Washington St., Hartford, CT 06166. (203) 566-8335. $10.80 (make check payable to Treasurer, State of Connecticut).

Foundations

Connecticut Foundation Directory. Sixth edition is to be published September 1, 1990. It will describe about 1,200 foundations. Contact D.A.T.A., Inc., 70 Audubon Street, New Haven, CT 06510. (203) 772-1345. $50 plus $4.00 postage and handling.

Corporations

Guide to Corporate Giving in Connecticut. Listings of more than 850 corporations in Connecticut. 1986. Third edition. A new edition may be available by January 1991. Published by D.A.T.A., Inc., 70 Audubon Street, New Haven, CT 06510. (203) 772-1345. $26.50 plus $4.00 shipping and handling.

Delaware

Government Grants: No directory.

Foundations

A new edition of *Delaware Foundations is about to be published.* Contact the United Way of Delaware, Inc., 625 North Orange Street, Wilmington, DE 19801. (302) 573-2414.

District of Columbia

Foundations

The Directory of Foundations of the Greater Washington Area describes 430 large and small foundations. 1988. Introductory materials include an article entitled "What Makes a Good Proposal?" A new edition of this directory is to be published in 1991. Available from the Community Foundation of Greater Washington, Inc., 1002 Wisconsin Avenue, NW, Washington, DC 20007. (202) 338-8993. $15 plus $3 for shipping via United Parcel Service.

Florida

Government Grants

Guide to Florida State Programs and *Florida Funding,* a monthly supplement. These readable books divide grant programs into sections according to which state agency administers them. 1990. The *Guide* is published every year; *Florida Funding* is published monthly, and it updates information in both the Guide and in the Florida Foundations Book (see information below). Order from Florida Funding Publications Inc., P.O. Box 561565, Miami, FL 33256-1565. (305) 253-0714. $63.90 for the *Guide,* and $132/year for *Florida Funding.*

Foundations

The Complete Guide to Florida Foundations describes over 1,000 grantmaking foundations in Florida. Appendices include a list of corporate foundations that make contributions in Florida, a list of community foundations, and a priority matrix that indicates the types of programs each likes to support. 1990. Third edition. Published by Florida Funding Publications, Inc., P.O. Box 561565, Miami, FL 33256-1565. (305) 253-0714. $63 plus $4.40 postage and handling.

Georgia

Government Grants

Catalog of Financial Assistance. Overall we found this one of thebetter directories. October 1989. Published annually. Available from the Georgia Dept. of Community Affairs, 1200 Equitable Bldg., 100 Peachtree St., Atlanta, GA 30303. (404) 656-2900. Free.

Foundations

Appalachia: Included in *A Guide to Funders in Central Appalachia and the Tennessee Valley.* See ALABAMA for more information.

Hawaii

Government Grants: No directory.

Foundations

Second edition of the *Directory of Charitable Trusts and Foundations for Hawaii's Non-Profit Organizations* is to be published in September 1990 by the Volunteer, Information & Referral Service, 200 North Vineyard Blvd., Room 603, Honolulu, HI 96817. (808) 536-7234.

Idaho

Government Grants: No directory.

Foundations

The Directory of Idaho Foundations describes 100 foundations and corporations either headquartered in Idaho or with a history of giving in Idaho. April 1988. Now out of print, a new edition is planned before the end of 1990. Contact the publisher, the Caldwell Public Library, 1010 Dearborn, Caldwell, ID 83605-4195. (208) 459-3242.

Illinois

Government Grants

The Catalog of State Assistance to Local Governments is written and indexed strictly for the local government audience. 1989. The next version will appear in August 1991. Published every two years. Order from the Illinois Commission on Inter-Governmental Cooperation, 707 Stratton Building, Springfield, IL 62706. (217) 782-6924. Free.

Foundations

Statewide: *The Directory of Illinois Foundations* profiles 493 foundations. An appendix includes brief entries on another 1,407 foundations. 1990. Second edition. Published by the Donors Forum of Chicago, 53 West Jackson Blvd., Suite 430, Chicago, IL 60604. (312) 431-0264. $40.00 plus $2.50 shipping and handling.

The *Illinois Foundation Directory,* with a very elaborate pages-in-pages-out service, includes approximately 2,000 foundations and other grantmaking programs. An index shows foundation interests, and there is a section on foundation guidelines and deadlines. In a large three-posted, expandable, vinyl catalog binder. 1990. Published by the Foundation Data Center, 401 Kenmar Circle, Minnetonka, MN 55343. (612) 542-8582. $650 – includes the directory, one year of their update service, a seminar, and access to their hotline.

The *Members and Library Partners Directory* is a directory of the 140 foundations and corporate contributions programs belonging to the Donors Forum. It includes a list of library partners – non-profit organizations and for-profit technical assistance providers – who contribute to the support of Donors Forum public service activities. December 1989. Published by the Donors Forum of Chicago, 53 West Jackson Blvd., Suite 430, Chicago, IL 60604. (312) 431-0264. $20.

Local: *Chicago's Corporate Foundations: A Directory* describes over 120 llinois corporate foundations. New features to this edition including lists of Japanese foundations, of foreign-owned companies headquartered in Illinois, and of foreign-owned companies operating in Illinois. June 1990. Second edition. Edited and published by Ellen Dick, 838 Fair Oaks, Oak Park, IL 60302. (708) 386-9385. $35.

Indiana

Government Grants: No directory.

Foundations

The *Directory of Indiana Donors* describes 475 grantmakers in Indiana. The appendix includes graphs that offer statistics on grantmaking in Indiana. November 1989. Available from the Indiana Donors Alliance, 1500 North Delaware, Indianapolis, IN 46202. (317) 638-1500. $15.

Iowa

Government Grants: No directory.

Foundations

The *Iowa Directory of Foundations* describes 247 foundations. There are no plans to revise this directory, and only about 10 copies are left for sale. 1984. Published by Trumpet Associates, Inc., P.O. Box 4672, Estes Park, CO 80517. (303) 586-6671. $10 plus $2 postage and handling.

Kansas

Government Grants: No directory.

Foundations

Statewide: *The Directory of Kansas Foundations* describes 335 grantmaking foundations. Indexes include lists of the foundations by city and by the types of programs they prefer to fund. November 1989. Second edition. Published by the Topeka Public Library, 1515 West 10th Street, Topeka, KS 66604. (913) 233-2040. $25.

Local: Included in *The Directory of Greater Kansas City Foundations.* See MISSOURI for more information.

Kentucky

Government Grants: No directory.

Foundations

Appalachia: Included in *A Guide to Funders in Central Appalachia and the Tennessee Valley.* See ALABAMA for more information.

Louisiana

Government Grants: No directory.

Foundations

Statewide: No directory.

Local: *The Citizens' Handbook of Private Foundations in New Orleans, Louisiana* describes 112 private foundations. 1987. They hope to publish a new edition of this directory before the end of 1990. Available from the Greater New Orleans Foundation, 2515 Canal Street, New Orleans, LA 70119. (504) 822-4906. $7.

Maine

Government Grants: No directory.

Foundations

Corporate Philanthropy in New England: Maine describes over 180 corporate giving programs in Maine. Second edition. 1987. A new edition of this directory is to be published in June 1991. Available from D.A.T.A., Inc., 70 Audubon Street, New Haven, CT 06510. (203) 772-1345. ($5 plus $2 postage and handling).

The Directory of Maine Foundations describes about 60 foundations and corporations. The introduction includes a section: "Feasibility Study Prior to Proposal Development and/or Fund Raising." 1990. Eighth edition. Published by the Office of Sponsored Research, University of Southern Maine, 96 Falmouth Street, Attn.: Janet F. Brysh, Librarian, Portland, ME 04103. (207) 780-4411. $8.

Maryland

Government Grants

With a few modifications to the front indexes, the *Catalog of State Assistance Programs 1990*could be the best of all the state grants books. It is also the book that most closely resembles the *Catalog of Federal Domestic Assistance.* The individual program listings are excellent. 1990. Updated annually. Published by the Maryland Office of Planning, Attn.: Linda Janey, Maryland State Clearinghouse, 301 W. Preston, Room 1104, Baltimore, MD 21201. (301) 225-4490. $35.

Foundations

The 1988 Annual Index Foundation Reports (and 1990 Appendix) was compiled from Maryland foundations' 1988 and 1989 tax forms. Index buyers receive the 1990 appendix at no additional cost. A new edition of the Index is scheduled for the end of the 1990. January 1989 and April 1990. Compiled and published by the Maryland State Attorney General's Office, 200 St. Paul Place, Baltimore, MD 21202, Attn.: Sharon Sullivan. (301) 576-6300. $70.

Massachusetts

Government Grants

The Catalog of State Grants for Municipal Officials was prepared under an "Incentive Aid Grant Award" by a private firm, Boyer, Bennett & Shaw Inc. It lists over 200 state grant programs. 1988. Published by the Executive Office of Communities & Development, 100 Cambridge St., 14th Floor, Boston, MA 02202. (617) 727-7001. Free.

Foundations

Massachusetts Grantmakers describes 438 grantmaking organizations. There is a reference chart to areas of funding interest by program area and population group. 1990. Published by Associated Grantmakers of Massachusetts, Inc., 294 Washington Street, Suite 840, Boston, MA 02108. (617) 426-2606. $40 plus $3 postage and handling.

Michigan

Government Grants: No directory.

Foundations

The Michigan Foundation Directory describes 936 foundations and also describes corporate foundations and other corporate giving programs. It includes an in-depth analysis of grantmaking in Michigan and chapters on "How to Research a Foundation" and "The Proposal Process: A Guide for Grant Proposals." The indexes include foundation subjects of interest and foundation names. Seventh edition. November 1990. Published by the Council of Michigan Foundations and the Michigan League for Human Services, 300 North Washington Square, Suite 401, Lansing, MI 48933. (517) 487-5436. $25 plus $2 for shipping.

Minnesota

Government Grants

The Minnesota Guidebook to State Agency Services is an elaborate state agency directory which thoroughly describes what each agency does, and along the way may mention some grant programs offered by the agency, usually with a note to order the agency's own grant listing. Published irregularly by the Minnesota Dept. of Administration – Print Division, 117 University Ave., St. Paul, MN 55155. (612) 297-3000. $15.90.

Foundations

The Guide to Minnesota Foundations and Corporate Giving Programs lists more than 600 Minnesota grantmakers. 1989. A new edition of this guide is to be published in January 1991. Published by the Minnesota Council on Foundations, 425 Peavey Building, Minneapolis, MN 55402. (612) 338-1989. $30.00 plus $1.50 postage and handling.

The Minnesota Foundation Directory, a very elaborate pages-inpages-out service, includes information on approximately 900 foundations and other grantmaking programs. An index shows foundation interests, and information on their guidelines and deadlines. In a large three-posted, expandable, vinyl catalog binder. 1990. Published by the Foundation Data Center, 401 Kenmar

Circle, Minnetonka, MN 55343. (612) 542-8582. $450 – includes the directory, one year of their update service, a seminar, and access to their hotline.

Mississippi

Government Grants: No directory.

Foundations

Appalachia: Included in *A Guide to Funders in Central Appalachia and the Tennessee Valley*. Please see ALABAMA for more information.

Missouri

Government Grants: No directory.

Foundations

Statewide: *The Directory of Missouri Foundations* describes more than 900 foundations. 1988. Second edition. Only a few copies of this directory remain for sale. A new edition will be available some time early next year. Order from Swift Associates, P.O. Box 28033, St. Louis, MO 63119. (314) 962-2940. $25.00 plus $2.25 postage and handling. Missouri residents add $1.43 sales tax.

Local: *The Directory of Greater Kansas City Foundations* describes 394 grantmaking foundations in the Kansas City area, indexed by the types of programs and population groups they prefer to support. 1990. Second edition. Published by the Clearinghouse for Midcontinent Foundations, P.O. Box 22680, Kansas City, MO 64113. (816) 276-1176. $50.

Montana

Government Grants: No directory.

Foundations

A new edition of *The Montana and Wyoming Foundation Directory* will be available soon from Eastern Montana College Library, Grants Information Center, 1500 North 30th Street, Billings, MT 59101. (406) 657-1686. $10.

Nebraska

Government Grants: No directory.

Foundations

The Nebraska Foundation Directory describes 158 foundations. May 1989. Published by the Junior League of Omaha, 11915 Pierce Plaza, Omaha, NE 68144. (402) 330-0197. $10.

Nevada

Government Grants: No directory.

Foundations

The Nevada Foundation Directory provides information on private foundations based in Nevada, on national foundations which have funded projects in Nevada, and on selected corporate giving in Nevada. 1989. Second edition. Published by the Las Vegas Clark County Library District, 1401 East Flamingo Road, Las Vegas, NV 89119. (702) 733-7810. $15 plus $2 postage and handling.

New Hampshire

Government Grants: No directory.

Foundations

The Directory of Charitable Funds in New Hampshire lists about 430 entries. Indexed by city or town and by their special purposes or interests. June 1988. Fourth edition. Available from the Division of Charitable Trusts, Office of the Attorney General, State House Annex, 25 Capitol Street, Concord, NH 03301-6397. (603) 271-3591. $5.

Corporate Giving

Corporate Philanthropy in New England: New Hampshire describes over 275 corporate giving programs. 1987. Second edition. A new edition of this directory is to be published in June 1991. Published by D.A.T.A., Inc., 70 Audubon Street, New Haven, CT 06510. (203) 772-1345. $5 plus $2 postage and handling.

New Jersey

Government Grants: No directory.

Foundations

The Mitchell Guide to Foundations, Corporations, and Their Managers: New Jersey describes 365 foundations and a separate list of 612 corporations, indexed by county. March 1990. Available from Wendy P. Littman, Littman Associates, Inc., PO Box 613, Belle Mead, NJ 08502. (201) 359-1597. $125.

New Mexico

Government Grants: No directory.

Foundations

The New Mexico Funding Directory includes private, community and corporate foundations; state government grants programs; associations and organizations; corporate direct-giving programs; and competitive award programs at the University of New Mexico. The main part of the directory contains descriptions of 295 funding sources. June 1990. Second edition. Published by the Office of Research Administration at the University of New Mexico, Scholes Hall, Room 102, Albuquerque, NM 87131. (505) 277-2256. $15.

New York

Government Grants

State Aid to Local Government is strictly about state grants to local government. 1989. Published annually by the NYS Office of the State Comptroller, c/o Joseph Hilton, Director, Division of Municipal Affairs, Bureau of Municipal Research & Statistics, Alfred E. Smith State Office Building, Albany, NY 12236. (518) 474-3687. Free.

Foundations

Statewide: *New York State Foundations: A Comprehensive Directory* describes 4,500 foundations. Indexed by geography, by types of support, by subject, and by foundation name. A new edition of this directory is expected in the middle of 1991. December 1988. Published by The Foundation Center, 79 Fifth Avenue, New York, NY 10003. (800) 424-9836 or (212) 620-4230. $150 plus $2 shipping and handling.

Local: *The Guide to Grantmakers in the Rochester Area* lists 116 sources. Includes detailed information about funders' priority interests and application procedures. Indexed by fields of interest. 1989. Updated every two years. The 1991-1993 Guide is tentatively planned for distribution by June 1991, but no price for the new Guide has yet been determined. Published by the Rochester Grantmakers Forum, 55 St. Paul Street, Rochester, NY 14504. (716) 232-2380. $32.50 for tax-exempt organizations; $34.60 to others.

Local: There is a *Mitchell Guide to Foundations, Corporations and Their Managers* for each of these geographic areas: Central New York (including Binghamton, Corning, Elmira, Geneva, Ithaca, Oswego, Syracuse, and Utica); Long Island (including Nassau & Suffolk Counties); New York City (including all five boroughs); Upper Hudson Valley (including Capital Area, Glenns Falls, Newburgh, Plattsburgh, Poughkeepsie, and Schenectady); Westchester (including Putnam, Rockland, and Orange Counties); and Western New York (including Buffalo, Jamestown, Niagara Falls, and Rochester). It is our understanding that these directories will be updated by The Foundation Center's new and complete directory of New York State. All of these books were published in 1987 by Rowland L. Mitchell, Jr., New York Mitchell Guides, Box 172, Scarsdale, NY 10583. (914) 723-7770. Each book costs $32 except for the New York City book, which costs $154.

North Carolina

Government Grants: No directory.

Foundations

Statewide: *North Carolina Giving: The Directory of the State's Foundations* profiles 707 foundations. Indexed alphabetically, by county, and by subject. 1990. Published by Capital Consortium, Inc., P.O., Box 2915, Raleigh, NC 27602. (919) 833-4553. $99.

Appalachia: Included in *A Guide to Funders in Central Appalachia and the Tennessee Valley*. Please see ALABAMA for more information.

North Dakota

Government Grants: No directory.

Foundations: No directory.

Ohio

Government Grants

The Directory of State Services to Local Governments is just a listing of state agencies with contact phone numbers. It's up to the grantseeker to contact relevant agencies and get their separate listing of grants. 1988. The next book will come out in August 1991. Published by the State & Local Government Commission, 77 S. High Street, Columbus, OH 43215. (614) 466-2108. $5.

Foundations

Statewide: *The Charitable Foundations Directory of Ohio* has financial data on approximately 1,900 grantmaking foundations, indexed by purpose and by county. Eighth edition. 1988. A new edition is to be published in the Spring of 1991. Published by the Attorney General's Office, Attn.: Joan Corbin, 30 East Broad Street, 15th Floor, Columbus, OH 43266-0410. (614) 466-3180. $6 including postage and handling. (Make checks payable to Charitable Foundations Directory.)

Local: *The Cincinnati Foundation Directory* describes 184 active grantmaking foundations. Indexed alphabetically, including a list of each foundation's area of interest. A second index is organized by the kinds of programs they prefer to fund. 1989. Published by MR & Company, P.O. Box 9223, Cincinnati, OH 45209. (513) 871-0525. $35 plus $2 shipping plus $2.04 Ohio sales tax.

The Guide to Charitable Foundations in the Greater Akron Area describes 43 foundations. 1986. Third edition. Published by the Grants Department, United Way of Summit County, 90 North Prospect Street, Akron, OH 44309-1260. (216) 762-7601. $8.

The first edition of the *Southwest Ohio Foundation Directory* is to be published in March 1991. Contact MR & Company, P.O. Box 9223, Cincinnati, OH 45209. (513) 871-0525.

Appalachia: Included in *A Guide to Funders in Central Appalachia and the Tennessee Valley*. Please see ALABAMA for more information.

Oklahoma

Government Grants

The *Community Guide to Financial & Technical Assistance From Oklahoma State Agencies* lists 36 grant programs and 66 technical assistance programs. 1990. Published by Oklahoma Department of Commerce, 6601 Broadway Extension, P.O. Box 26980, Oklahoma City, OK 73126-0980. Free.

Foundations

The Directory of Oklahoma Foundations contains information on more than 200 foundations. Indexed by area of interest, by city, and by name. Third edition. October 1990. Published by Foundation Research Project, Oklahoma City Community Foundation, P.O. Box 1146, Oklahoma City, OK 73101. (405) 235-5603. $20 prepaid. $25 with purchase order.

Oregon

Government Grants: No directory.

Foundations

Guide to Oregon Foundations describes foundations as of June 1987, with a 1990 update. 1987, with a 1989 update. Fourth edition. A new edition is due by the end of 1990 and will have a bulletin board and database version. Published by United Way of Columbia-Willamette, 718 West Burnside, Portland, OR 97209. (503) 226-9368. $10.

Pennsylvania

Government Grants

The Catalog of State Resources for Local Government briefly describes each grant and technical assistance program offered by state agencies. Primarily an annotated index of state programs. November 1988. Published irregularly by the Pennsylvania Dept. of Community Affairs, 515 Forum Building, Harrisburg, PA 17120. (717) 787-7160. Free.

Foundations

The fourth editions of *The Directory of Pennsylvania Foundations is to be published in September 1990 at $49.95 each plus $5 tax and shipping. Contact Triadvocates Press, P.O. Box 336, Springfield, PA 19064. (215) 544-6927.*

Rhode Island

Government Grants: No directory.

Foundations

Grantsbook: A Resource Guide to Fundraising in Rhode Island was published in 1987 with updates in 1988 and 1989. There are no plans to revise it. The few remaining copies are available from Information and Referral Services, United Way of Southeastern New England, 229 Waterman Street, Providence, RI 02906-5297. (401) 521-9000. $10.

Corporate Giving

Corporate Philanthropy in Rhode Island describes more than 250 corporations. 1989. Second edition. Published by D.A.T.A., Inc., 70 Audubon Street, New Haven, CT 06510. (203) 772-1345. $16.95 plus $2.00 shipping and handling.

South Carolina

Government Grants

The South Carolina Rural Resource Directory lists all the state agencies. 1989. First edition. Published by the Governor's Office of Rural Improvement & Small & Minority Business Assistance, Division of Economic Development, Room 444, Edgar A. Brown Building, 1205 Pendleton St., Columbia, SC 29201. (803) 734-0562. Free.

Foundations

The South Carolina Foundation Directory includes foundation program interests and foundation location by city. 1987. Third edition. The publishers hope to publish a new edition before the end of 1990. Published by South Carolina State Library, 1500 Senate Street, P.O. Box 11469, Columbia, SC 29211. (803) 734-8666. $10.

South Dakota

Government Grants: No directory.

Foundations

The South Dakota Grant Directory (Second edition) lists about 300 programs. Published in 1989, an update is planned for 1991. South Dakota residents can call (800) 592-1841 to receive a copy free, or write to South Dakota State Library, 800 Governors Drive, Pierre, SD 57501-2294. If the library runs out, residents can borrow a copy from the library for four weeks. The directory is not sold to out-ofstaters, but they may borrow a copy through interlibrary loan, using call number OCLC 15433456.

Tennessee

Government Grants: No directory.

Foundations

Statewide: The third edition of the *Tennessee Directory of Foundations and Corporate Philanthropy* was published in 1985 by the Bureau of Intergovernmental Management of the City of Memphis. It's no longer available, but you may be able to see a copy in the Foundation Center Cooperating Collection library. There are no plans to revise it.

Appalachia: Included in *A Guide to Funders in Central Appalachia and the Tennessee Valley.* Please see ALABAMA for more information.

Texas

Government Grants

The Resource Guide for Local Government: A Guide to State & Federal Programs is just a very elaborate state agency directory. It does indicate that some agencies provide "state and federal grants," but it doesn't give any details. 1988. The guide is updated every two years. The 1990 edition will be out in 1991. Published by the Department of Community Affairs, 8317 Cross Park Dr., Box 13166 Capitol Station, Austin, TX 78711. (512) 834-6000. $5.

Foundations

Statewide: *The Directory of Texas Foundations* describes 1,509 foundations. November 1990. Eleventh edition, with a supplement due in the fall of 1991. Published by the Funding Information Center, 507 Brooklyn, San Antonio, TX 78215. (512) 227-4333. $119 for both the Directory and the 1991 Supplement.

Local: A new edition of the *Directory of Dallas County Foundations* is to be published September 1, 1990. The new edition will cost $30 plus $2.20 tax and $2.40 postage. Urban Information Center, Dallas Public Library, 1515 Young Street, Dallas, TX 75201. (214) 670-1487.

The Directory of Tarrant County Foundations describes 148 foundations in Fort Worth and Tarrant County. 1989. Fourth edition. Published by the Funding Information Center, Texas Christian University, Mary Couts Burnett Library, P.O. Box 32904, Fort Worth, TX 76129. (817) 921-7664. $30 plus $3 postage and handling.

Utah

Government Grants: No directory.

Foundations

Statewide: *A Directory of Foundations in Utah* (1986; Second edition) is available from University of Utah Press, 101 University Services Building, Salt Lake City, UT 84112. (800) 444-8638, Ext. 6771. $50.

The Philanthropic Foundations of Utah Directory describes 97 grantmaking foundations in Utah. It was published in December 1989 by Henry Dean Publishing, 1254 N. 1220 West, Provo, UT 84605. $49.

Vermont

Government Grants: No directory.

Foundations

The Vermont Directory of Foundations describes 85 private foundations and other funding sources. A separate section describes some funding sources incorporated outside Vermont with a demonstrated interest in Vermont organizations. Indexed by foundation interests. 1989. Third edition. Published by CPG Enterprises, P.O. Box 199, Shaftsbury, VT 05262. (802) 447-0256. $25. Add $2.50 for First Class handling.

Corporate Giving

Corporate Philanthropy in New England: Vermont describes over 125 corporate giving programs. 1987. Second edition. A new edition of this directory is to be published in June 1991. Published by D.A.T.A., Inc., 70 Audubon Street, New Haven, CT 06510. (203) 772-1345. $5 plus $2 postage and handling.

Virginia

Government Grants: No directory.

Foundations

Statewide: A draft copy of a new edition of the *Virginia Foundation Directory* is now available for $25, and an index to the directory is in the works. Contact Gaynell Drummond, Reference Librarian, Grants Collection, Hampton Public Library, 4207 Victoria Blvd., Hampton, VA 23669. (804) 727-1154.

Appalachia: Included in *A Guide to Funders in Central Appalachia and the Tennessee Valley.* Please see ALABAMA for more information.

Washington

Government Grants

State Agency Assistance for Local Governments has a useful innovation we haven't seen anywhere else – a list of two grant/service recipients for each program listed, with contact names and phone numbers. This gives you an opportunity to talk to someone who knows all about the grant program you're researching. The format is clear and the information is detailed and helpful. 1990. Published annually for the past four years by the Association of Washington Cities, 1076 S. Franklin St., Olympia, WA 98501. (206) 753-4137. $25.

Foundations

A new edition of *the Charitable Trust Directory* is to be published in October 1990. October 1989. Published by the Attorney General's Office, Highways Licenses Building, Mail Stop PB OK 71, Olympia, WA 98504. (206) 753-0863. $8.

West Virginia

Government Grants: No publication.

Foundations

Statewide: *The West Virginia Foundation Directory* is only published every 3-4 years, but supplementary updates are published annually. A new directory is planned for 1991 or 1992. 1987, with 1990 update. Published by the Kanawha County Public Library, 123 Capitol Street, Charleston, WV 25301. (304) 343-4646. $7.50.

Appalachia: Included in *A Guide to Funders in Central Appalachia and the Tennessee Valley.* See ALABAMA for more information.

Wisconsin

Government Grants

The Inventory of Local Assistance Programs is in the process of being updated from its original 1976 version. State officials estimate that it will take six months or so to finish the project from where they are now. The book will be published by the Federal-State Relations office, Department of Administration, at the Capitol in Madison.

Foundations

The 1988 edition of *Foundations in Wisconsin: A Directory* is no longer available for sale. You may be able to see it in the Foundation Center Cooperating Collection library. A new edition is to be published in September 1990. Published by Marquette University Memorial Library, 1415 West Wisconsin Avenue, Milwaukee, WI 53233. (414) 288-1515.

Wyoming

Government Grants: No directory.

Foundations

The Wyoming Foundations Directory describes 42 Wyoming foundations and 22 out-of-state foundations "which conduct business or provide services within Wyoming." 1988. Fourth edition. Published by the Laramie County Community College Library, 1400 East College Drive, Cheyenne, WY 82007. (307) 778-1205. Free at LCCC Library; $1.00 per copy by mail within Wyoming; $3.00 per copy by mail outside Wyoming.

Included in *The Montana and Wyoming Foundations Directory*. Please see MONTANA for more information.

APPENDIX B

Department of Housing and Urban Development

Federal Contacts

Transitional Housing Demonstration Program

Jeanne Andersen
HUD Office of Special Needs Assistance
451 7th St. SW
Washington, D.C. 20410
(202) 708-2140

Emergency Shelter Grant Program

Keith Martin
HUD OFfice of Special Needs Assistance Program
451 7th St. SW
Washington, D.C. 20410
(202) 708-1234

Regional and Field Offices

Region I (Boston)

Boston Regional Office
Room 3375
Thomas P. O'Neill, Jr.
Federal Bldg.
10 Causeway Street
Boston, Massachusetts 02222-1092
(617) 565-5234

Field Offices

Bangor Office
First Floor
Casco Northern Bank Building
23 Main Street
Bangor, Maine 04401-4318
(207) 945-0467

Burlington Office
Room B-31
Federal Building
11 Elmwood Avenue
P. O. Box 879
Burlington, Vermont 05402-0879
(802) 951-6290

Hartford Office
First Floor
330 Main Street
Hartford, Connecticut 06106-1860
(203) 240-4523

Providence Office
330 John O. Pastore Federal Building
and U.S. Post Office - Kennedy Plaza
Providence, Rhode Island 02903-1785
(401) 528-5351

Region II (New York)

New York Regional Office
26 Federal Plaza
New York, New York 10278-0068
(212) 264-8053

Field Offices

Albany Office
Leo W. O'Brien Federal Building
North Pearl Street and Clinton Avenue
Albany, New York 12207-2395
(518) 472-3567

Buffalo, New York
Fifth Floor
Lafayette Court
465 Main Street
Buffalo, New York 14203-1780
(716) 846-5755

Camden Office
The Parkdale Building
519 Federal Street
Camden, New Jersey 08103-9998
(609) 757-5081

Caribbean Office
New San Juan Office Building
159 Carlos Chardon Avenue
San Juan, Puerto Rico 00918-1804
(809) 766-6121

Newark Office
Military Park Building
60 Park Place
Newark, New Jersey 07102-5504
(201) 877-1662

Region III (Philadelphia)

Philadelphia Regional Office
Liberty Square Building
105 South Seventh Street
Philadelphia, Pennsylvania 19106-3392
(215) 597-2560

Field Offices

Baltimore Office
Third Floor
The Equitable Building
10 North Calvert Street
Baltimore, Maryland 21202-1865
(301) 962-2520

Charleston Office
Suite 708
405 Capitol Street
Charleston, West Virginia 25301-1795
(304) 347-7000

Pittsburgh Office
412 Old Post Office Courthouse
7th Avenue and Grant Street
Pittsburgh, Pennsylvania 15219-1906
(412) 644-6428

Richmond Office
First Floor
The Federal Building
400 North 8th Street
P. O. Box 10170
Richmond, Virginia 23240-0170
(804) 771-2721

Washington, D.C. Office
Room 3158
451 Seventh Street, S.W.
Washington, D.C. 20410-5500
(202) 453-4500

Wilmington Office
Room 1304
J. Caleb Boggs Federal Building
844 King Street
Wilmington, Delaware 19801-3519
(302) 573-6300

Region IV (Atlanta)

Atlanta Regional Office
Richard B. Russell Federal Building
75 Spring Street, SW
Atlanta, Georgia 30303-3388

Field Offices

Birmingham Office
Suite 300
Beacon Ridge Tower
600 Beacon Parkway, West
Birmingham, Alabama 35209-3144
(205) 731-1617

Columbia Office
Strom Thurmond Federal Building
1835-45 Assembly Street
Columbia, South Carolina 29201-2480
(803) 765-5592

Coral Gables Office
Gables 1 Tower
1320 South Dixie Highway
Coral Gables, Florida 33146-2911
(305) 662-4500

Greensboro Office
415 North Edgeworth Street
Greensboro, North Carolina 27401-2107
(919) 333-5363

Jackson Office
Suite 910
Doctor A. H. McCoy Federal Building
100 West Capitol Street
Jackson, Mississippi 39269-1096
(601) 965-4707

Jacksonville Office
325 West Adams Street
Jacksonville, Florida 32202-4303
(904) 791-2626

Knoxville Office
Third Floor
John J. Duncan Federal Building
710 Locust Street
Knoxville, Tennessee 37902-2526
(615) 549-9384

Louisville Office
601 West Broadway
P. O. Box 1044
Louisville, Kentucky 40201-1044
(502) 582-5251

Memphis Office
Suite 1200
One Memphis Place
200 Jefferson Avenue
Memphis, Tennessee 38103-2335
(901) 521-3367

Orlando Office
Suite 270
Langley Building
3751 Maguire Boulevard
Orlando, Florida 32803-3032
(407) 648-6441

Nashville Office
Suite 200
251 Cumberland Bend Drive
Nashville, Tennessee 37228-1803
(615) 736-5233

Tampa Office
Room 527
700 Twiggs Street
P. O. Box 172910
Tampa, Florida 33672-2910
(813) 228-2501

Region V (Chicago)

Chicago Regional Office
626 West Jackson Boulevard
Chicago, Illinois 60606-5601
(312) 353-5680

Field Offices

Cincinnati Office
Room 9002
Federal Office Building
550 Main Street
Cincinnati, Ohio 45202-3253

Columbus Office
200 North High Street
Columbus, Ohio 43215-2499
(614) 469-5737

Flint Office
Room 200
Amentech Building-Local
352 South Saginaw Street
Flint, Michigan 48502-1953

Indianapolis Office
151 North Delaware Street
Indianapolis, Indiana 46204-2526
(317) 269-6303

Minneapolis-St. Paul Office
220 Second Street, South
Minneapolis, Minnesota 55401-2195
(612) 370-3000

Cleveland Office
Room 420
One Playhouse Square
1375 Euclid Avenue
Cleveland, Ohio 44114-1670
(216) 522-4058

Detroit Office
Patrick V. McNamara Federal Building
477 Michigan Avenue
Detroit, Michigan 48226-2592
(313) 226-6280

Grand Rapids Office
2922 Fuller Avenue, NE
Grand Rapids, Michigan 49505-3409
(616) 456-2100

Milwaukee Office
Suite 1380
Henry S. Reuss Federal Plaza
310 West Wisconsin Avenue
Milwaukee, Wisconsin 53203-2289
(414) 291-3214

Springfield Office
Suite 672
Lincoln Tower Plaza
524 South 2nd Street
Springfield, Illinois 62701-1774
(217) 492-4085

Region VI (Fort Worth)

Fort Worth Regional Office
1600 Throckmorton
Post Office Box 2905
Fort Worth, Texas 76113-2905
(817) 885-5401

Field Offices

Albuquerque Office
625 Truman Street, N.E.
Albuquerque, New Mexico 87110-6443
(505) 262-6463

Houston Office
Suite 200
Norfolk Tower
2211 Norfolk
Houston, Texas 77098-4096
(713) 653-3274

Lubbock Office
Federal Office Building
1205 Texas Avenue
Lubbock, Texas 79401-4093
(806) 743-7265

Oklahoma City Office
Murrah Federal Building
200 N. W. Fifth Street
Oklahoma City, Oklahoma 73102-3202
(405) 231-4181

Shreveport Office
New Federal Building
500 Fannin Street
Shreveport, Louisiana 71101-3077
(318) 226-5385

Dallas Office
Room 860
525 Griffin Street
Dallas, Texas 75202-5007
(214) 767-8359

Little Rock Office
Suite 200
Lafayette Building
523 Louisiana Street
Little Rock, Arkansas 72201-3707
(501) 378-5931

New Orleans Office
Fisk Federal Building
1661 Canal Street
New Orleans, Louisiana 70112-2887
(504) 589-7200

San Antonio Office
Washington Square
800 Dolorosa
San Antonio, Texas 78207-4563
(512) 229-6781

Tulsa Office
Suite 110
Boston Place
1516 South Boston Street
Tulsa, Oklahoma 74119-4032
(918) 581-7435

Region VII (Kansas City)

Kansas City Regional Office
Professional Building
1103 Grand Avenue
Kansas City, Missouri 64106-2496
(816) 374-6432

Field Offices

Des Moines Office
Room 239
Federal Building
210 Walnut Street
Des Moines, Iowa 50309-2155
(515) 284-4512

St. Louis Office
210 North Tucker Boulevard
St. Louis, Missouri 63101-1997
(314) 425-4761

Omaha Office
Braiker/Brandeis Building
210 South 16th Street
Omaha, Nebraska 68102-1622
(402) 221-3703

Topeka Office
Room 256
Frank Carlson Federal Building
444 S. E. Quincy
Topeka, Kansas 66683-0001
(913) 295-2652

Region VIII (Denver)

Denver Regional Office
Executive Tower Building
1405 Curtis Street
Denver, Colorado 80202-2349
(303) 844-4513

Field Offices

Casper Office
4225 Federal Office Building
100 East B Street
P. O. Box 580
Casper, Wyoming 82602-1918
(307) 261-5252

Helena Office
Room 340
Federal Office Building, Drawer 10095
301 S. Park
Helena, Montana 59626-0095
(406) 449-5205

Sioux Falls Office
Suite 116
"300" Building
300 N. Dakota Avenue
Sioux Falls, South Dakota 57102-0311
(605) 330-4223

Fargo Office
Federal Building
653 Second Avenue North
P. O. Box 2483
Fargo, North Dakota 58108-2483
(701) 239-5136

Salt Lake City Office
Suite 220
324 S. State Street
Salt Lake City, Utah 84111-2321
(801) 524-5379

Region IX (San Francisco)

San Francisco Regional Office
Phillip Burton Federal Building
and U.S. Courthouse
450 Golden Gate Avenue
P. O. Box 36003
San Francisco, California 94102-3448
(415) 556-4752

Indian Programs Office, Region IX
Suite 400
1 North First Street
Phoenix, Arizona 85004-2360
(602) 261-4156

Field Offices

Fresno Office
Suite 138
1630 E. Shaw Avenue
Fresno, California 93710-8193
(209) 487-5033

Las Vegas Office
Suite 205
1500 E. Tropicana Avenue
Las Vegas, Nevada 89119-6516
(702) 388-6500

Phoenix Office
Third Floor
1 North First Street
P. O. Box 13468
Phoenix, Arizona 85002-3468
(602) 261-4434

Sacramento Office
Suite 200
777 12th Street
Sacramento, California 95809-1997
(916) 551-1351

Santa Ana Office
Box 12850
34 Civic Center Plaza
Santa Ana, California 92712-2850
(714) 836-2451

Honolulu Office
Prince Jonah Federal Building
300 Ala Moana Boulevard
P. O. Box 50007
Honolulu, Hawaii 96850-4991
(808) 541-1323

Los Angeles Office
1615 W. Olympia Boulevard
Los Angeles, California 90015-3801
(213) 251-7122

Reno Office
1050 Bible Way
P. O. box 13468
Reno, Nevada 89505-4700
(702) 784-5356

San Diego Office
Room 5 S-3
Federal Office Building
880 Front Street
San Diego, California 92188-0100
(619) 557-5310

Tucson Office
Suite 410
100 North Stone Avenue
Tucson, Arizona 85701-1467
(602) 629-6237

Region X (Seattle)

Seattle Regional Office
Arcade Plaza Building
1321 Second Avenue
Seattle, Washington 98101-2054
(206) 442-5414

Field Offices

Anchorage Office
Federal Building - U.S. Courthouse
222 West 8th Avenue #64
Anchorage, Alaska 99513-7537
(907) 271-4170

Portland Office
520 Southwest Sixth Avenue
Portland, Oregon 97204-1596
(503) 221-2561

Boise Office
Federal Building, U.S. Courthouse
550 West Fort Street
P. O. Box 042
Boise, Idaho 83724-0420
(208) 334-1990

Spokane Office
Eight Floor East
Farm Credit Bank Building
West 601 First Avenue
Spokane, Washington 99204-0317
(509) 353-2510

APPENDIX C

Community Development Block Grant Program

Federal Contact

Don I. Patch
Director, Office of Block Grant Assistance
Community Planning and Development
Department of Housing and Urban Development
451 7th St. SW
Washington, D.C. 20410
(202) 708-3587.

Organizations Involved in CDBG

National Governors' Association
444 North Capitol St., Suite 250
Washington, D.C. 20001

Marianne Clark, Program Director
Economic Development, Science, and Technology
Center for Policy Research
(202) 624-5380

Council of State Community Affairs Agencies
444 North Capitol St., Suite 251
Washington, D.C. 20001
(202) 393-6435
Contact: Carla Taylor

National Council for Urban Economic Development
1730 K St. NW, Suite 915
Washington, D.C. 20006
(202) 223-4735
Contact: Ken Poole

National Community Development Association
522 21st St. NW, Suite 120
Washington, D.C. 20006
(202) 293-7587
Contact: Reginald N. Todd
Chief Executive Officer

Tom Unruh, Policy Analyst
(202) 624-8573

Eric Dobson, Senior Staff Assistant
(202) 624-7740

National Association of State Development Agencies
400 North Capitol St., Suite 256
Washington, D.C. 20001
(202) 624-5411
Contact: Bryant Monroe

National Association of Towns and Townships
1522 K St. NW, Suite 730
Washington, D.C. 20005
(202) 737-5200
Contact: Hamilton Brown

State CDBG Contacts

ALABAMA

Don Reid
Department of Economic and Community Affairs
3465 Norman Bridge Road
P. O. Box 2939
Montgomery, Alabama 36105

ALASKA

Judith A. Holden
Department of Community and Regional Affairs
Pouch BC
P. O. Box 2939
Juneau, Alaska 99811

ARIZONA

Rivko Knox
Department of Commerce
1700 West Washington, #505
Phoenix, Arizona 85007

ARKANSAS

Jane Ahrend
Arkansas Industrial Development Commission
#1 Capitol Mall South
Little Rock, Arkansas 72201

CALIFORNIA

Dave Williamson
Department of Housing and Community Development
P. O. Box 952051
Sacramento, California 94252-2051

COLORADO

Bill Timmermeyer
Department of Local Affairs
518 Centennial Building
1313 Sherman Street, Room 518
Denver, Colorado 80203

CONNECTICUT

Larry Lusardi
Department of Housing
1179 Main Street
Hartford, Connecticut 06103-1089

DELAWARE

Douglas Croft
State Housing Authority
18 The Green
P. O. Box 1401
Dover, Delaware 19903

FLORIDA

Linda Frohock
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APPENDIX
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References and Resources for Grant Writing

Bauer, David G. *The "How To" Grants Manual. Successful Grantseeking Techniques for Obtaining Public and Private Grants.* 2nd Edition. New York: American Council on Education/Macmillan Publishing Company,1988.

An excellent introduction to the world of grantseeking for those with little or no experience in the field. Overview of both government and private funding sources, including foundation and corporate sources. Includes information on how to organize a grantseeking effort, establishing and maintaining contacts with funding sources, and proposal preparation. Contains useful checklists and samples of contact, inquiry and proposal letters. Explains and illustrates use of research materials.

Bauer, David G. *Administering Grants, Contracts and Funds.* Evaluating and Improving Your Grants System. New York: American Council on Education/Macmillan Publishing Company, 1989.

For those already involved in grantseeking efforts as well as those about to begin, a guidebook for evaluating, planning and implementing a grants office. Discusses the purposes of a grants office and evaluation of its success, improving effectiveness of research of funding sources. Reviews the roles of the grants office in contacting funding sources, preparing and submitting proposals, and administration of funds received. Contains many useful checklists, form letters and sample proposals.

APPENDIX
F

Responses to Survey

State Leagues
Responding to Survey on Funding for Programs for Children and Families

- League of California Cities
- Colorado Municipal League
- Connecticut Conference of Municipalities
- Florida League of Cities
- Georgia Municipal Association
- Indiana Association of Cities and Towns
- Louisiana Municipal Association
- New Hampshire Municipal Association
- North Dakota League of Cities
- Pennsylvania League of Cities
- South Dakota Municipal League
- Association of Washington Cities

Cities Responding	Population
Mesa, Arizona	152,453
Scottsdale, Arizona	88,622
Brea, California	27,913
Escondido, California	75,000
Huntington Beach, California	170,505
Long Beach, California	361,355
Redwood City, California	54,965
Santa Barbara, California	74,542
Santa Monica, California	88,314
West Covina, California	80,292
Denver, Colorado	492,686
Pueblo, Colorado	101,686
Jacksonville, Florida	540,898
Atlanta, Georgia	425,022
Honolulu, Hawaii	762,874
Mt. Prospect, Illinois	52,634
Skokie, Illinois	60,278
Lexington, Kentucky	204,165
New Orleans, Louisiana	557,927
Somerville, Massachusetts	77,372
Lincoln, Nebraska	171,932
Trenton, New Jersey	92,124
New Rochelle, New York	70,794
New York City, New York	7,071,030
Columbus, Ohio	565,032
University Heights, Ohio	15,401
Hato Rey, Puerto Rico	
El Paso, Texas	425,259
Houston, Texas	1,594,090
Lubbock, Texas	173,979
Hampton, Virginia	122,617
Portsmouth, Virginia	104,577
Seattle, Washington	493,846

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ABOUT THE NATIONAL LEAGUE OF CITIES

The National League of Cities was established in 1924 by and for reform-minded state municipal leagues. It now represents forty-nine leagues and more than 1,400 cities directly, and through the membership of the state municipal leagues, 16,000 cities indirectly.

NLC serves as an advocate for its members in Washington in the legislative, administrative, and judicial processes that affect them; develops and pursues a national urban policy that meets the present and future needs of our nation's cities and the people who live in them; offers training, technical assistance and information to municipal officials to help them improve the quality of local government in our urban nation; and undertakes research and analysis on topics and issues of importance to the nation's cities.

ABOUT THE NLC CHILDREN AND FAMILIES IN CITIES PROJECT

NLC's **Children and Families in Cities Project** is an ongoing effort to encourage and enable local elected officials to meet the needs of children and families through direct assistance, research, policy analysis, and networking.

The project surveyed 390 cities to learn about city hall interests, involvement, and needs concerning issues affecting children and families, especially those living in poverty. The findings and analysis were published in 1989 as *Our Future and Our Only Hope,* which also includes brief descriptions of more than 250 successful programs. This information permits NLC to develop assistance tailored to the needs of city hall officials. Other project activities include specialized workshops and publications, including the booklet *Your City's Kids* and a *Local Officials Guide to Family Day Care Zoning.* These activities have been funded by grants from Carnegie Corporation of New York, the Lilly Endowment, and the Rockefeller Foundation. A related publication, *Caring for Children,* describes local government child care programs.

In 1987, the project published *Children, Families & Cities: Programs that Work at the Local Level,* a casebook of 32 adaptable model programs. Topics covered include strategic planning, youth employment, child care, teen pregnancy prevention, and child and family homelessness. Recently reprinted, this publication was originally funded by a grant from the Foundation for Child Development.

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